APPENDIX F

DATA ENTRY

USER'S GUIDE

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INTRODUCTION

DATA ENTRY USERS GUIDE

INTRODUCTION

What is the purpose of TPS?

The TAX PERFORMANCE SYSTEM (TPS) Program provides information for the State Employment Security Agency (SESA) and the Department of Labor (DOL) in order to assess the quality of the State's Unemployment Insurance (UI) tax operation. At the SESA level, this information helps State Administrators improve, where warranted, the revenue operation of their UI programs. At the Federal level, the information helps DOL carry out its responsibilities of oversight, technical assistance, and policy development.

A considerable amount of data is gathered during TPS reviews. It is used for analysis and reports and is shared among the States. Data is gathered for each of the six tax functions reviewed:

- Status Determinations
- Cashiering
- Report Delinquency
- Collections
- Field Audit
- Account Maintenance

Each of these functions has information derived from one or more of the following methods used in the TPS procedures:

- Computed Measures
- Methods Surveys
- Program Reviews (consisting of Systems Reviews and Acceptance Samples)

What is the purpose of this handbook?

To help use the data collected, an automated system has been developed to store all information. This handbook was developed to explain this automated system — both what the system is and how to use it.

All TPS units have access to the UI computer system. This system is also used by the Benefits Quality Control (BQC) Program, the UI Required Reporting (UIRR) system, and other UI projects. Data entry terminals will be available within each TPS unit providing

INTRODUCTION

connectivity to the computer. The system is designed to allow access only to users having proper approval to prevent unauthorized use by other people on the UI computer.

The first chapter, "Getting Started — Overview," provides background information on the user's guide, including the standard or global EDP rules for using the data entry system. The remainder of the guide is organized following the data processing programming modules that are developed for entering TPS data. Separate chapters address the three methodologies used in the TPS investigative process and each is a separate module in the automated system.

A Quick Tour of the Contents

The user's guide is divided into the following chapters:

Getting Started - An Overview introduces you to the computer equipment needed to run the TPS software and the software necessary to support the TPS system, both commercially purchased and custom developed packages. Also described are the setups needed to allow TPS users permission to enter data. Instructions are given for global procedures — such as cursor movement, menus, menu bars and the mouse — used in all data entry sessions regardless of the module involved.

Computed Measures provides detailed data entry instructions for the Computed measures module. This chapter is further broken into subsections, one for each of the tax functions using measures: Status Determinations, Report Delinquency, Collections and Field Audit. Within each subsection you are given detailed steps in using the software. This includes what each screen looks like, how data is retrieved, updated, deleted etc. along with edits, error messages and help provided.

Methods Survey will cover the detailed data entry instructions for

INTRODUCTION

the Methods Survey module. As in the chapter, *Computed Measure*s, it will be further broken into subsections for each of the tax functions using surveys: Status Determinations, Report Delinquency, and Collections.

Program Review **[to be developed]** will provide detailed data entry instructions for the Program Review module. It will contain two subsections reflecting the two portions of a program review: Systems Review and Sampling. These will be broken down further with sections for each of the tax functions using either of these methodologies.

Other Management Tools [**to be developed**] will provide the capability to produce miscellaneous reports or add other features to the system as enhancements.

Technical References includes a glossary, database table layouts, path names, utilities, and data elements used along with their definitions.

GETTING STARTED — OVERVIEW

This section introduces you to the computer equipment and required software — both commercially purchased and custom developed packages — needed to support the TPS software. Information is provided about the setups you need to get TPS user's permission that will let you enter data. Also described are global procedures — such as cursor movement, menus, menu bars, and the mouse — you will use for all data entry sessions regardless of the module involved.

Let's begin with a description of automated processing in a broad, general manner, including commonly used terms and definitions.

Hardware

Hardware is the physical equipment that operates the system, such as the *central processing unit* (CPU), terminal, modem, and printer. The CPU inside the computer receives data from information entered from the keyboard, another input device, or program.

The *terminal* is the screen (monitor) and the keyboard. More than one terminal can use a single CPU. There are two ways to join the terminal with the CPU. One way is directly (hard-wired) through electrical cables. The other way uses a *modem* that sends the signals from the keyboard over a telephone line to the CPU.

The *printer* produces a paper or hard copy of information contained in the computer.

A *disk* is a flat, circular plate with a magnetic surface where data and programs reside. The *hard disk* is a permanent, internal part of the computer. A *floppy disk*, also called a *diskette*, is portable and stores copies of the software or other information produced by the computer.

Magnetic tape is like a floppy disk but stores much more information. The computer system currently uses only magnetic tape, specifically either 9-track tape or 8 mm cartridge Exabyte. A

tape (or a floppy disk) can transfer its contents to other machines, archive old data, or restore information accidentally removed from the hard disk.

Software

Software is a collection of step-by-step instructions, called *programs*, written in a language the computer understands and can execute. Some programs do a particular task that the user initiates, while other programs work without the user's knowledge to internally control the computer's operation.

A *menu* is a list of options appearing on the monitor. It may be a list of programs or commands. This section describes different types of menus used in the TPS system. A menu-driven system allows you to execute complicated tasks without knowing technical computer language and commands.

Data are an aggregate collection of information stored in the system. Data reside in *files*. The *file structure* is a logical way of storing data. Understanding this structure helps you to find the data you need and to create new databases.

Files reside in *directories*. A *directory* is a hierarchical way of grouping data and programs contained on the system. The software contains a standardized directory structure for each account.

Database Systems

Another component of software is the *database system*. A database system is a collection of data stored in the computer in a logical and consistent manner. Using this type of system allows the development of multiple applications using a common database. Also, the database system allows the computer to store data efficiently and yet allow easy retrieval.

Relational Database. A *relational database* is a collection of data stored in two or more tables that share a common column-name [key field] that joins the tables together in a single database. This

key field allows you to create relationships across tables when querying a database. You can look at data stored in several tables as if they were a single table.

To create a relational database, you must first create a database and then several tables. All the tables need a key field to link them together. Tables can be linked by naming one column in each table the same. A *join field* is a single field that represents data from columns in different tables. All the tables must belong to the same database.

INFORMIX-SQL. This commercial software product created the UI database (UIDB) you are using. INFORMIX-SQL is the database management component of the package. It organizes, stores, and retrieves data. Once you become familiar with the user guide received with the INFORMIX package, you can begin to create useful programs and reports yourself.

An INFORMIX database has tables, rows, columns, screen forms, reports, and files. A *table* organizes data into rows and columns. A *row* is a record in the table containing all the data fields. A *column* contains the data of a specific field for each record. A *screen form* enters data into the system from the keyboard. You can create a screen form by selecting a table name, then compile it to the newly generated form name. A *report* allows you to arrange and format database information. You can then direct the resulting output to the monitor, to a printer, or to a file. A database *file* is a collection of records or rows.

For example, you may decide to make a database for information relating to allocating personnel for a review of a tax function for a year and quarter. You decide that the information contained in the table should be login id, tax function, year, and quarter. This information for each login id is a row. Individual items, such as

login id, are column or field names. Several rows make a table; several related tables make a database.

Files do not always contain data. Some contain text, such as a word processing file (a letter) or instructions for the computer to follow (a program). In using the system, you may create and name files. Remember to create a unique name for each file so that the computer will know where to find the information stored in them.

Window Systems

A window system is a collection of programs that lets you use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called *windows*, you can run multiple login sessions simultaneously on different hosts. These can include graphics display programs, figure drawing programs, mail reading programs, and text reviewers.

Let's briefly discuss three types of commercial window software products — JAM, Motif, and eXceed.

JAM. This commercial software product created the software you're using. It has a graphics user interface (GUI), which includes the screen form development interface, a Reportwriter interface, and a programming language of its own which was used in the development of the TPS applications. JAM provides a variety of components for screen development called *widgets.* These include such things as pushbuttons and scroll bars, which give the application a graphics look.

Motif. This software provides guidelines on how a window system user interface for graphical computers should look and feel. The user interacts with the application by typing at the keyboard and by clicking, selecting, and dragging various graphic elements

of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look three-dimensional. For example, when a button is clicked on, it appears to be pressed in and released.

eXceed. *eXceed* is an X-emulation software program that gives your PC graphics capability. It acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When eXceed receives special characters that would tell a real terminal what to do — such as clear the screen or move the cursor — it translates these special characters into the commands to do this on the display.

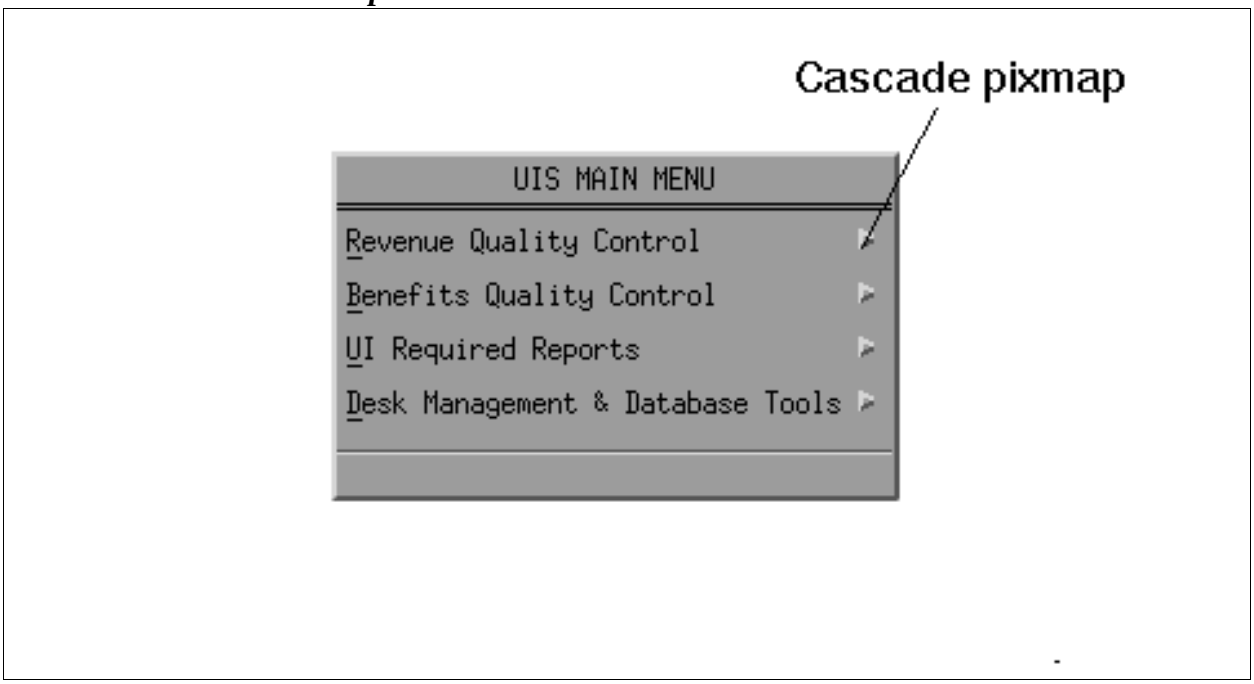
Examples of Windows

Let's now look at the many types of windows designed using JAM and Motif.

Main Menu Window

The UIS Main Menu, shown below, is an example of a main menu window. This type of menu is a popup vertical menu. The cascade pixmap as shown in the figure indicates the presence of submenus for the menu option in focus.

Example: **Main Menu Window**



The menu leads you to the particular software program you want to run. You can choose an item from the menu in a variety of ways:

- Click on the option with the mouse.
- Highlight the option with the up or down arrow (89) keys, then press ENTER or the space bar.
- Press the mnemonic entry (the underlined letter in the option, *example*, "R" for , "B" for Benefits Quality Control).

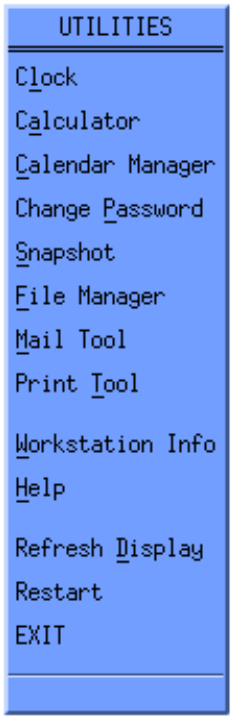
Continue making selections from the vertical popup menus until you reach the program you want to run. Once the program you want appears, different screens or menus are displayed.

Utilities Menu

The Utilities menu is used to select a particular X-windows utility you want to perform. Although the menu does not include all the utility applications available for the X-Windows system, it has the most used and most useful utilities (*example*, calculator, clock, mail tool).

To activate a utilities menu, click the right mouse button outside all windows, or put the cursor in the top left corner and press F3. Shown below is an example of a Utilities menu window.

***Example*: Utilities Menu Window**



This is a vertical menu. The options displayed lead you to the particular commercial software you want to run.

You can pick an item from the menu in various ways:

- Click on the option with the mouse.

If you accessed the Utilities menu using F3, there are two additional ways to choose a menu option.

- Highlight the option with the up or down arrow (89) keys, then press ENTER or the space bar.
- Press the mnemonic entry (*example*, "l" for Clock, "a" for Calculator).

Once you arrive at the program you want to run, different screens or menus appear depending on the program. These applications were not developed by TPS. Separate user manuals for the respective products are available. Check with your State's SUN Systems Administrator for more information.

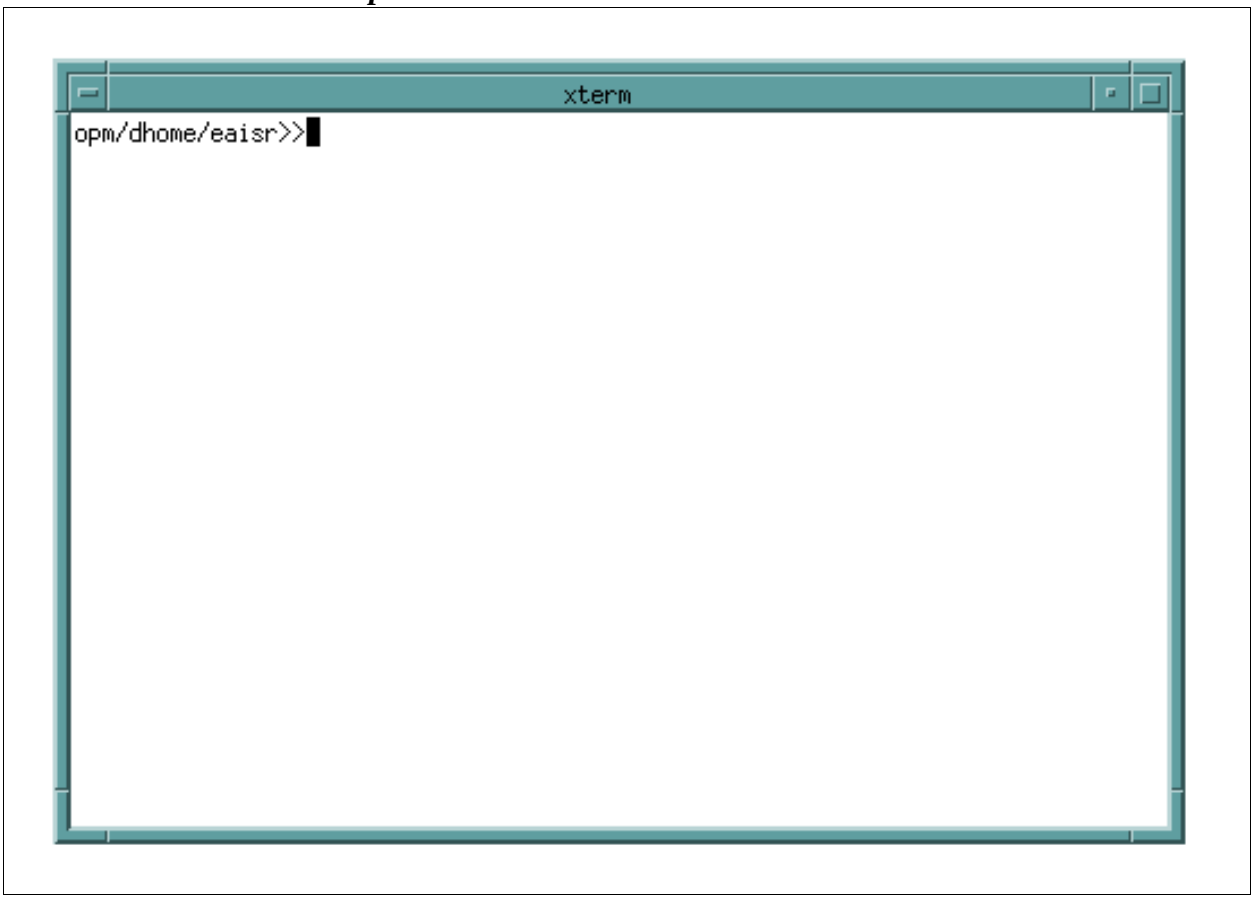
xterm Command Line

You can use the xterm command line, if required, to access and edit files. It will not normally be used to run TPS applications.

To activate an xterm command line, click the middle mouse button (for a three-button mouse) or the left and right buttons simultaneously (for a two-button mouse) outside all windows, or position the cursor in the top left corner of the screen, then press F4.

Shown below is an example of an xterm command line in an xterm window.

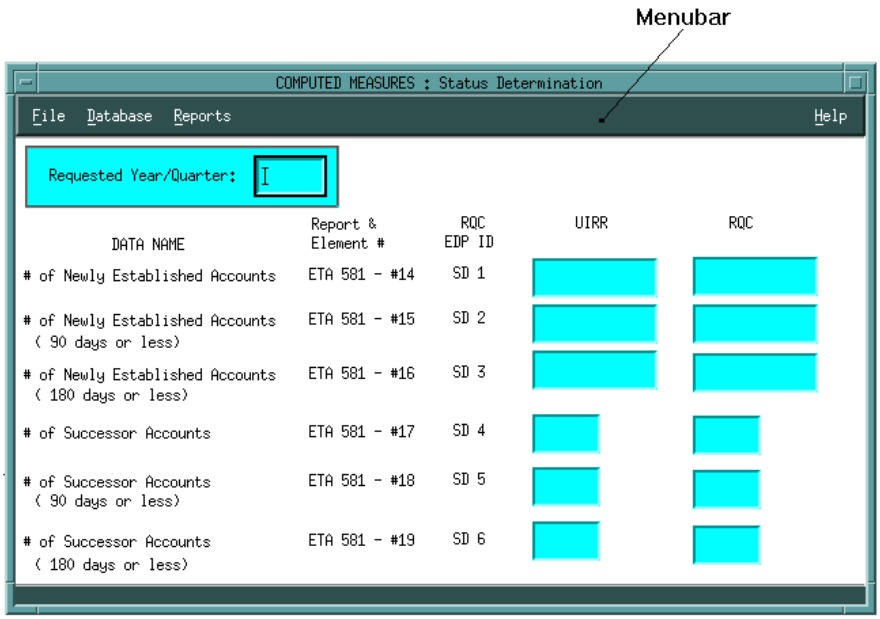
Example: **xterm Window**



Menubar

The *menubar* is another common menu. Although every application has a menubar, the options displayed on the menubar may differ depending on the application. However, as a standard, the Help option will be in the right corner of the menubar. Shown below is an example of a window displaying a typical menubar.

***Example*: Window with Menubar**



You can access a menubar two ways.

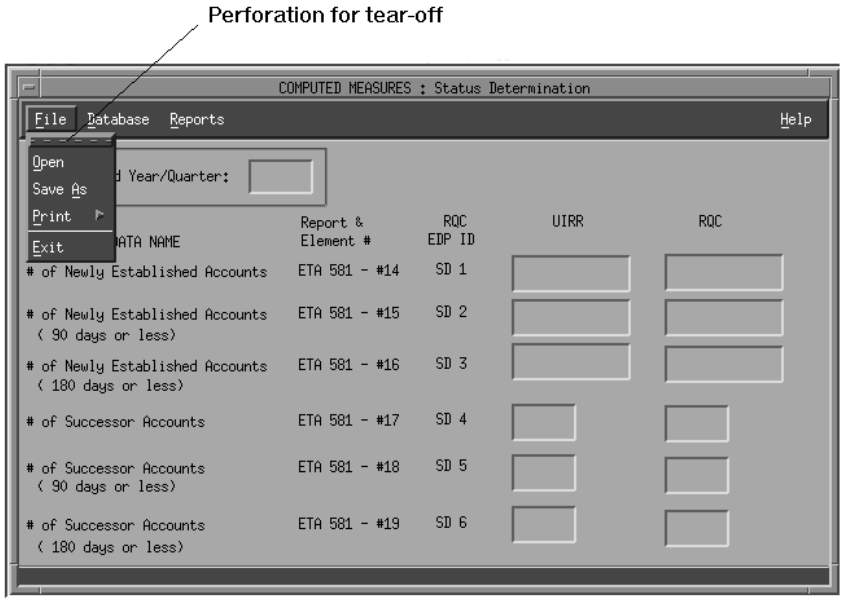
- Click with the mouse on any option on the menubar.
- Press the F10 key. The first menu option in the menubar appears; when active, it is raised. You can navigate the menu options by using the left and right arrow keys.

You can then also use the mnemonics to access the submenus under each menu option (*example*, `"F"` for `File`, `"H"` for `Help`).

Each menu option on the menubar has one or more submenu options. The submenu options differ depending on the requirements of the application. However, the `Exit` option — which is used to exit the application — always appears under the first menu option of the menubar. The `Help` option has four submenu options: `Context Sensitive Help`, `Overview`, `Keyboard`, and `Product Information`.

Tear-off Menu. Each menu option on a menubar has a *tear-off* feature to separate submenus from the main menu. This feature is useful if you want to keep certain menus on the screen at all times. Commonly used items can then be quickly accessed without having to pull down the menu.

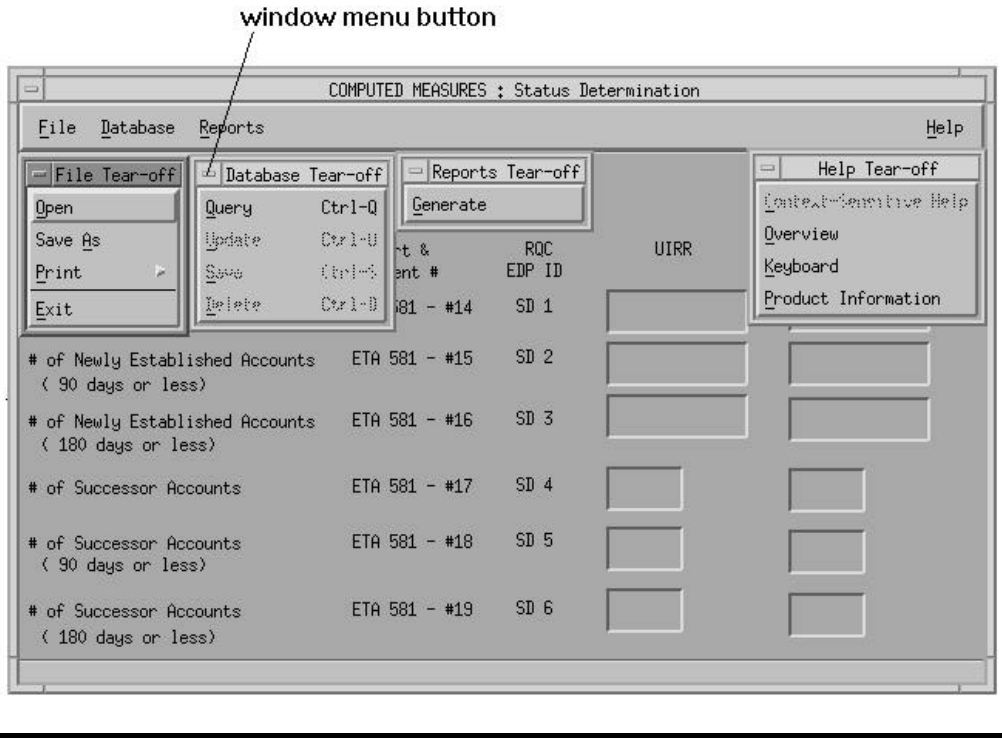
To detach a submenu from its main menu, simply click the mouse on the perforated line below the respective menu option.


Perforation for tear-off
COMPUTED MEASURES : Status Determination
File
Database
Reports
Help
Open
Save As
Print
Exit
Year/Quarter:
ATA NAME
Report & Element #
RQC EDP ID
UIRR
RQC
# of Newly Established Accounts
ETA 581 - #14
SD 1
# of Newly Established Accounts (90 days or less)
ETA 581 - #15
SD 2
# of Newly Established Accounts (180 days or less)
ETA 581 - #16
SD 3
# of Successor Accounts
ETA 581 - #17
SD 4
# of Successor Accounts (90 days or less)
ETA 581 - #18
SD 5
# of Successor Accounts (180 days or less)
ETA 581 - #19
SD 6

Shown below is an example of a window with the menubar and the tear-off menus.

To close a tear-off menu window, click on the top left corner window menu button. A pull-down menu appears. Choose the "Close" option from the pull-down menu.

Example: **Tear-off Menu Windows**



Customizing Your Menu System

The designers of the TPS software have tried to give as many opportunities as possible for SESAs to customize the menu systems to best suit individual State operations.

Menu systems for accessing software programs are coded in a setup file called ".mwmrc", which is located in the system directory - /usr/lib/X11/system.mwmrc. You can customize the menu system by copying this file into your home directory and modifying the code to change or add menu options. For more information on modifying this setup file for menu systems, refer to the manual pages on the SUN system under the topic "mwm".

Help Window

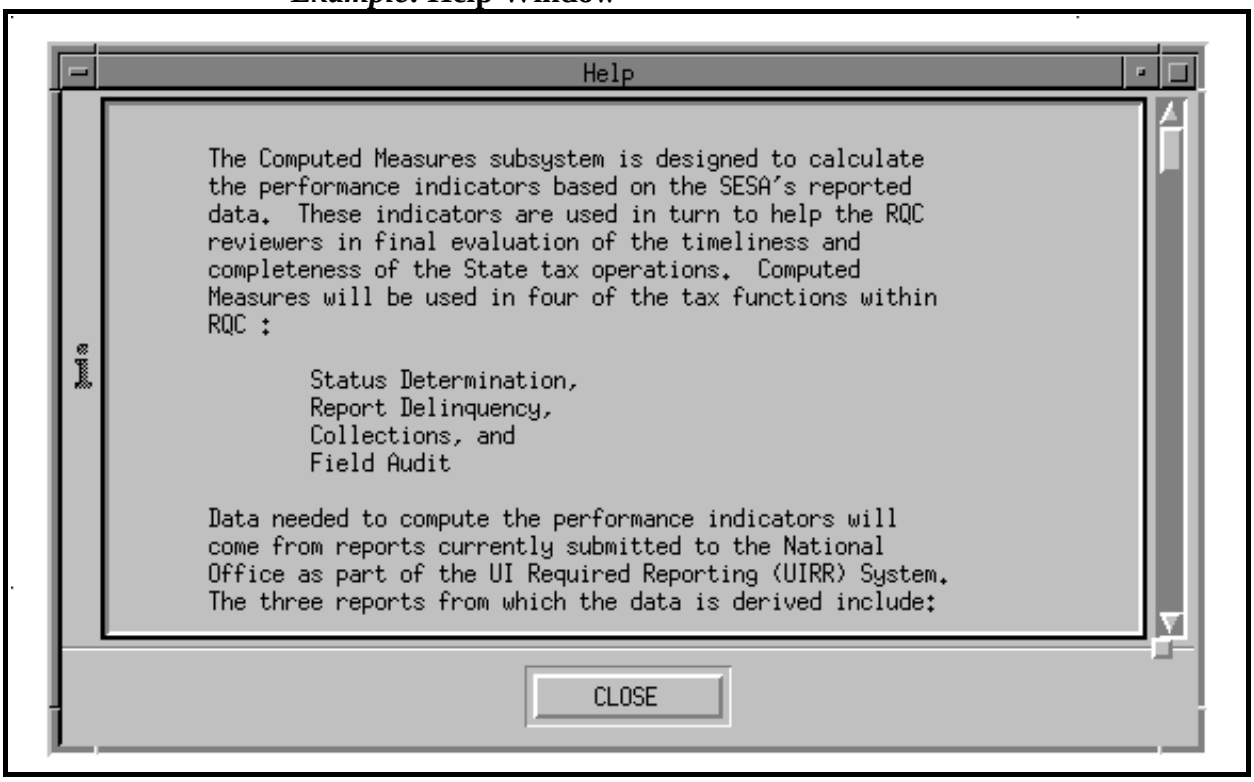
Depending on the application, you can get either context-sensitive help or screen help/overview for most screens.

To get any of the following Help options, click on `Help` in the menubar or press F1:

- Context Sensitive Help
- Keyboard
- Overview
- Product Information

Shown below is an example of a typical Help window.

***Example*: Help Window**



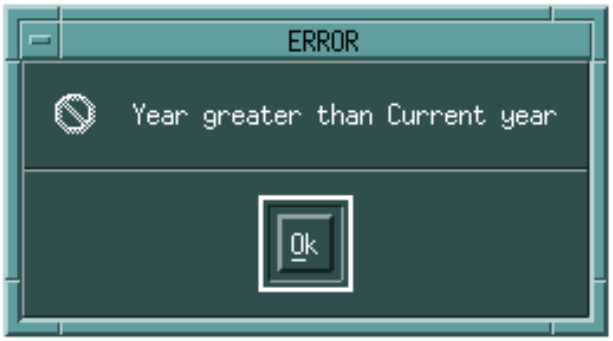
Error Messages

Error messages are statements that appear when an error condition occurs while performing an application.

Error messages are displayed in an error message dialog window. The error dialog is titled ERROR and has a graphic symbol shaped like a hexagon. The pushbuttons shown on the error dialog are application dependent. You can move the error window on the screen, but must first respond to the error message before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical error message dialog window.

***Example*: Error Message Dialog Window**



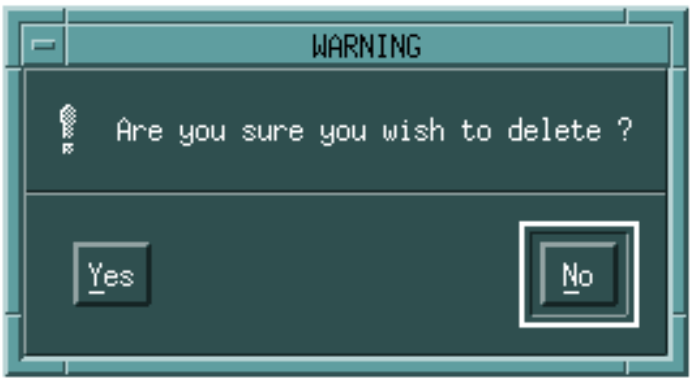
Warning Messages

A warning message is a statement that appears on the screen advising you to proceed cautiously with a chosen operation in the application.

Warning messages are displayed in a warning message dialog window. The warning dialog is titled WARNING and has a graphic symbol shaped like an exclamation point (!). The pushbuttons displayed on the warning dialog are application dependent. You can move the warning dialog on the screen, but must first respond to the warning message before continuing data entry or choosing any other menu operations.

Below is an example of a typical warning message dialog window.

***Example*: Warning Message Dialog Window**



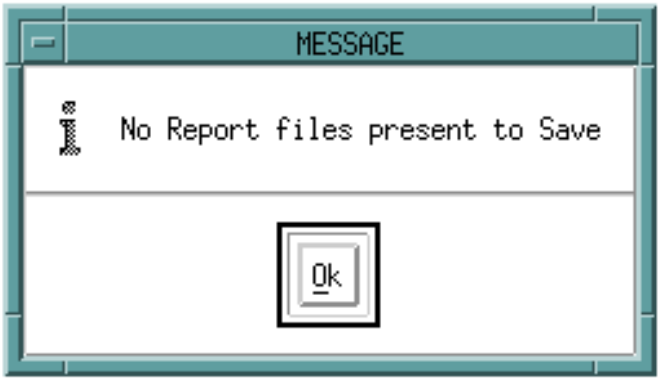
Informational Messages

Informational messages are statements that display meaningful information regarding a field, screen, application, or a process in operation.

These messages appear in a message dialog window or on the status line in the window. The message dialog window is titled MESSAGE and has a graphic symbol in the shape of the letter "**i**". The pushbuttons displayed on a message dialog are application dependent. You can move a message dialog on the screen, but must first respond to the informational message before continuing data entry or choosing any other menu operations.

Shown below is an example of a window with a typical informational message dialog window.

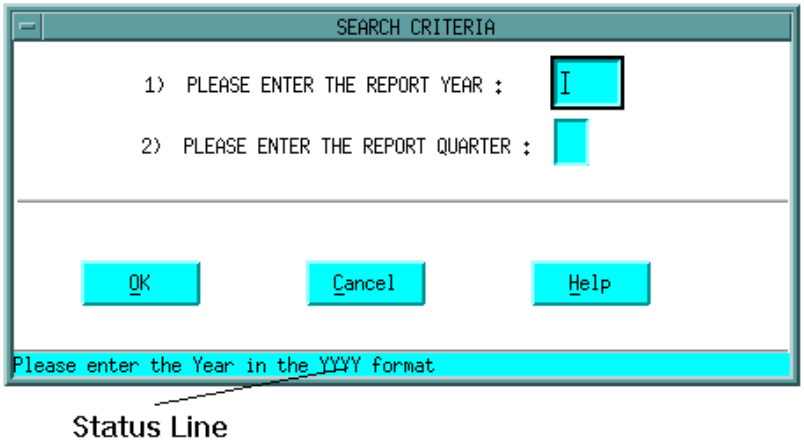
***Example*: Informational Message Dialog Window**



Informational messages such as processing messages may also be displayed on the status line.

Shown below is an example of a window with a status line message.

***Example*: Window with a Status Line Message**

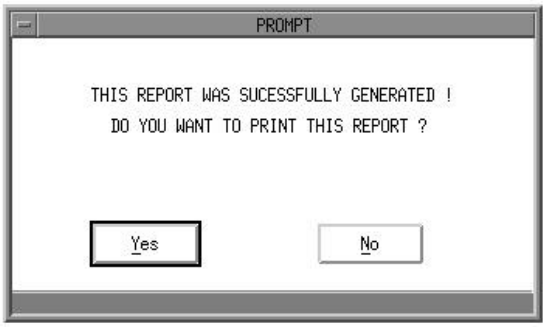


Prompt Messages

Prompt messages are requests asking users for input information needed to continue the operation of an application. These messages are displayed in a window called a prompt dialog window. This window is titled and has a graphic symbol and pushbuttons that are application specific. You can move the prompt dialog on the screen, but must first respond to the prompt before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical prompt message dialog window.

***Example*: Prompt Message Dialog Window**



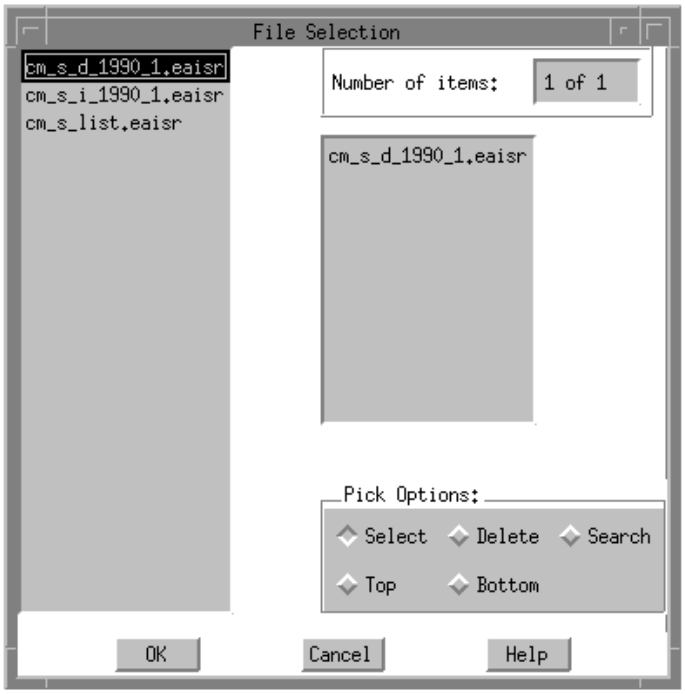
File Selection Dialog Window

A selection dialog window provides you with options such as selecting files or codes.

Files or codes are displayed in a selection dialog window. The prompt dialog has a title and a graphic symbol and pushbuttons that are application specific. You can move the selection dialog window on the screen, but must first respond to the selection dialog window before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical File Selection dialog window.

***Example*: File Selection Dialog Window**



Hardware / Software for TPS Applications

The TPS software is loaded on the SUN system. Since the software has been developed using a graphical user interface (GUI), a PC with X-emulation capability or an X-terminal should be used to access the software.

If a PC is used, the X-emulation software eXceed should be first triggered to login to the SUN system and then execute the applications.

If an X-terminal is used, a startup script file is automatically executed when you login to the SUN system. This script provides the terminal with the required graphics capability needed to execute the applications.

User's Guide Conventions

To help you interpret information easily, this guide uses consistent visual cues and window descriptions, known as *conventions*. They are:

`Bold Courier font`	Copy that you type
Bold regular type	Buttons on the screen
`Regular Courier font`	Text, other than buttons, that appears on the screen

Logging In On a PC

Execute the windows program on your PC. Double click on the red "X" option on the eXceed window. Once the eXceed software program is triggered from the windows environment and the terminal is ready for use, the login window appears on the screen. Shown below is the login window.

Login Window

The screen displays two prompts, the login and the password.

The System Administrator in each agency provides each user with a login name, also known as the user name or the account name.

Enter the login name, then press ENTER.

Everyone using the system has an account with a unique login name. Anyone using an account may access the files and functions granted that specific account. This is why it is important to keep your password private. It helps to ensure that only you access the subsystems assigned to your account. The password should be known only to you to ensure that others cannot use your account. You decide the password. Check with your System Administrator to learn how to set and change your password.

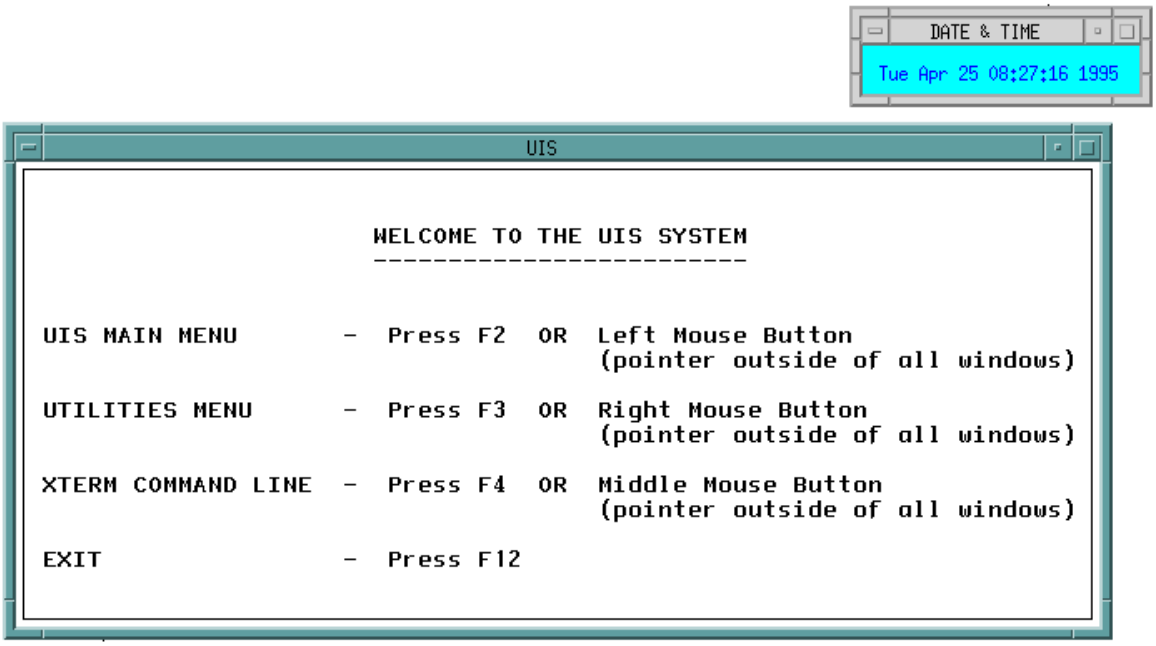
Change your password frequently. Do not use a common dictionary word. To deter unauthorized users from successfully discovering your password, it should ideally incorporate capital letters and numbers in unusual positions in the word. Type your password, then press

.

If you make a mistake when entering your login name or password, an error message "Login Incorrect" appears and prompts you to reenter the identification parameters. Reenter your login and password until a new screen appears. If no new screen appears after a couple of tries, ask your System Administrator for help.

The screen that appears after successful login may contain either messages from your System Administrator or a window showing a variety of menu options. The following is a sample of the window displayed.

Menu Options Window



Logging In On an X-terminal

When an X-terminal is ready for use, the following prompt should appear on the screen:

```
Login:
```

A prompt is the computer's way of asking you to enter information by typing on the keyboard. Your System Administrator provides you with a login name, also known as a user name or an account name. Type your login name when the `Login` prompt appears, then press

.

Another prompt appears asking for your password. The password should be known only to you to ensure that others cannot use your account. You decide the password. Check with your System Administrator to learn how to set and change your password.

The password should be changed frequently and should not be a common dictionary word. To deter unauthorized users from successfully discovering your password, it should ideally incorporate capital letters and numbers in unusual positions in the word. As only the first eight letters are "read" by the computer, additional characters will be ignored. Enter the password. then press

as you did at the Login prompt. This time the letters entered from the keyboard do not appear on the screen.

If you make a mistake entering either your Login name or password, the Login prompt appears again. Reenter your Login and password until a new screen appears. If no new screen appears after a couple of tries, ask your System Administrator for help. The screen that appears after a successful login may display messages from your System Administrator or a window with a variety of menu options. Refer to the Menu Options window shown above.

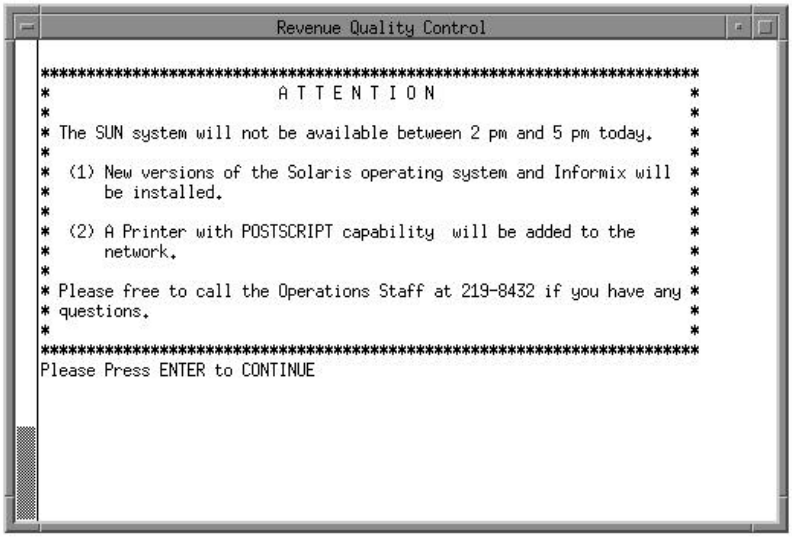
Message Screen

A message screen is created by your State System Administrator to display messages, called the *message of the day* (motd), that you and

other users would want to know when you login. Such messages can include, for example, changes in system software, a list of scheduled down-times, or the name of newly installed third-party software. The motd is the screen you see after you login.

The System Administrator's message screen could look something like this:

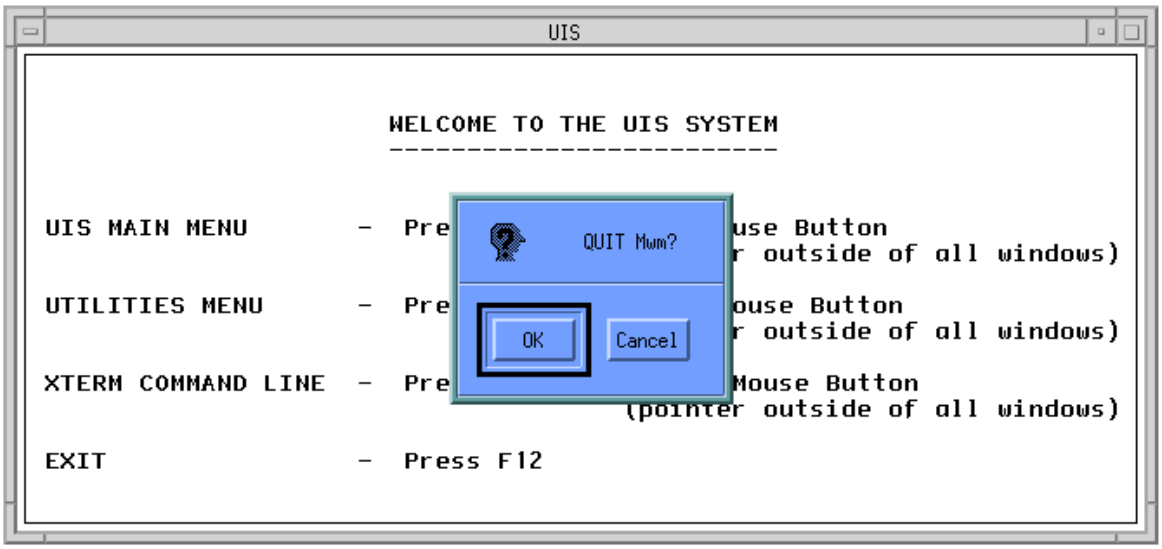
Message Screen



Logging Off

To logoff, simply press F12 from the Menu options window or choose the "Exit" option from the Utilities menu. A window pops up with the message "QUIT Mwm?". You have two options. To log off the system, click on **OK**, or press the space bar or ENTER. To return to the Menu options window, click on **Cancel**.

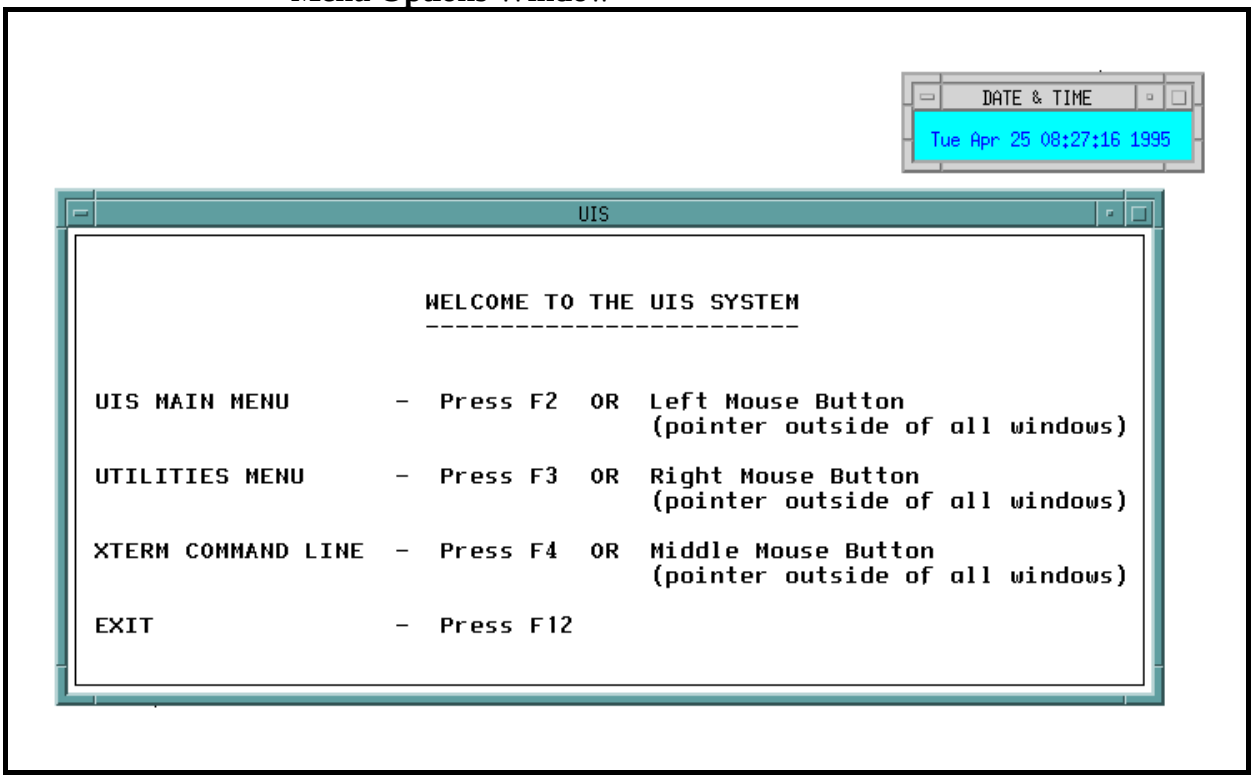
Logoff Window



Accessing TPS Programs

After logging in, the TPS applications are available via the UIS Main Menu choice on the Menu Options window, shown below.

Menu Options Window



You can access the UIS menus two ways:

- Click and hold down the left mouse button outside all windows, or
- Press F2.

If either of these alternatives is chosen, the UIS Main Menu, shown below, appears.

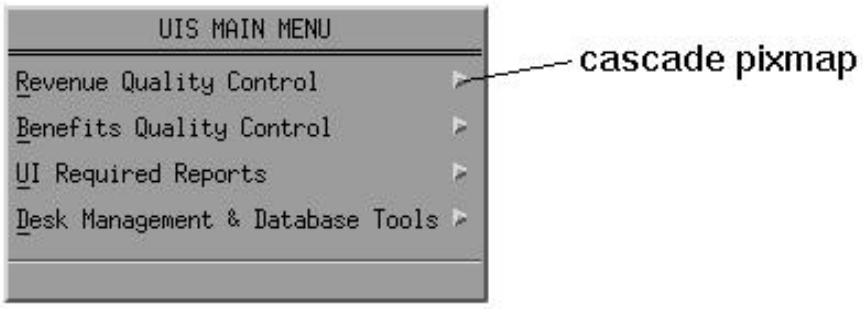
If you choose to access the menus using the mouse:

- The triangular cascade pixmap, shown below, indicates there are additional submenus for the menu option in focus. When you release the mouse button on the cascade pixmap (<), the menu stays on the screen and displays submenus for the menu option chosen.

If you choose to access the menus using F2:

- The UIS Main Menu appears and stays on the screen for you to choose additional options. Clicking on the cascade pixmap displays submenus for the menu option chosen.

UIS Menu System Window

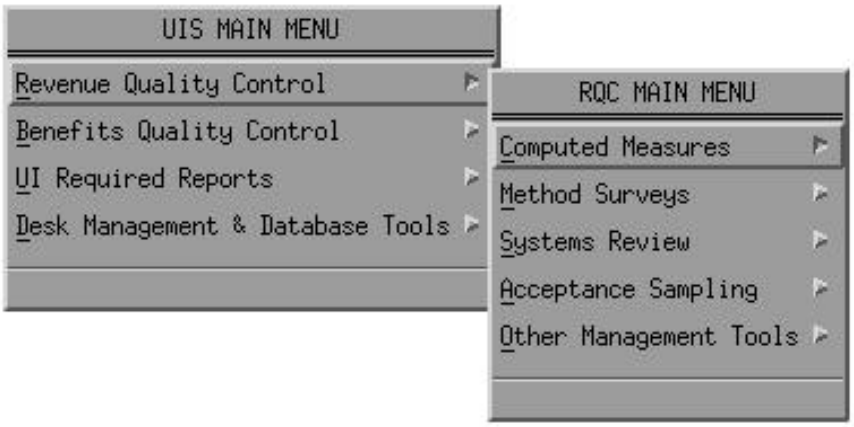


Choose the first option from the UIS Main Menu. The TPS Main Menu, shown below, appears.

You can choose an item from the menu various ways.

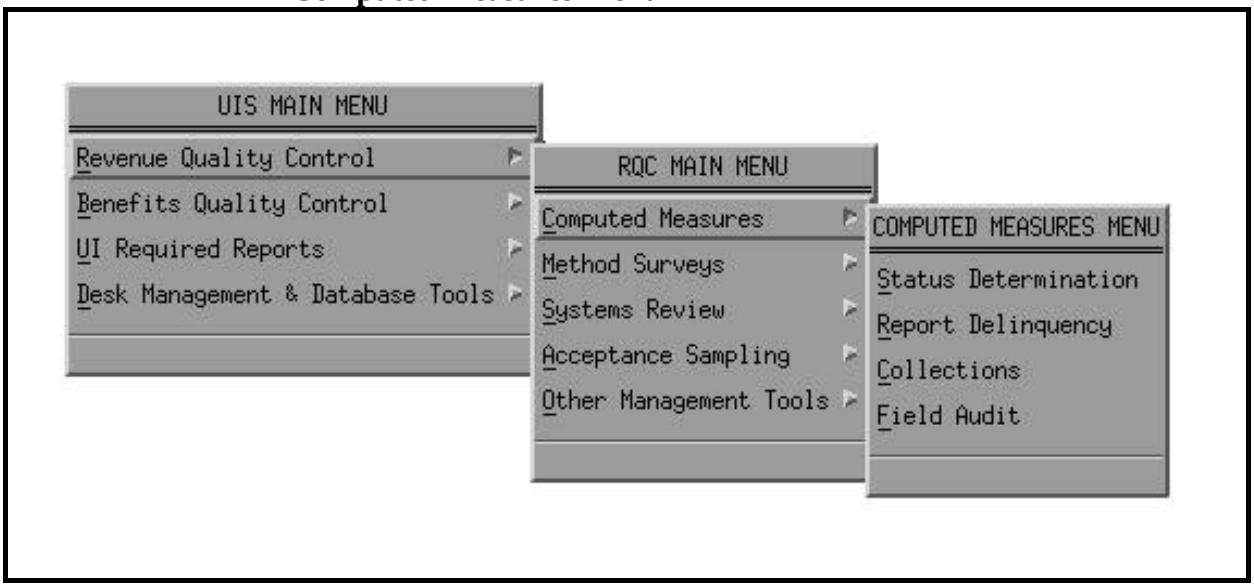
- Click on the option with the mouse.
- Highlight the option with the up or down arrow (89) keys, then press ENTER if the menu was chosen using F2 or if the menu stayed on the screen.
- Press the mnemonic entry (*example*, "R" for TAX PERFORMANCE SYSTEM, "B" for Benefits Quality Control) if the menu was chosen using F2 or if the menu stayed on the screen.

TPS Main Menu



If you choose the Computed Measures option from the TPS Main Menu, you'll see the Computed Measures Menu, shown below.

Computed Measures Menu



Permissions

Permissions are controls that give you access to TPS applications. You can access the applications only if your account exists in the TPS security table (c_security). If no account exists for you in the TPS security table, you'll see the message,

```
You have no access to this application.
```

However, all users have "select" permissions to the TPS database tables in UIDB.

If your access is denied for the application or you don't have your permissions set up, please check first with your State System Administrator or if necessary call the National Office Hotline for assistance.

The following sections in Appendix F describe programs developed specifically for TAX PERFORMANCE SYSTEM applications in the order of their respective positions on the menu.

Computed Measures

Methods Surveys

Systems Review

Acceptance Sampling

Other Management Tools

COMPUTED MEASURES

Defining Computed Measures

Computed measures are indicators of the timeliness and completeness with which unemployment insurance (UI) tax transactions occur. To calculate these measures, TPS uses a series of data elements which States report through the existing Federally required reporting system.

Computed measures are used in four tax functions of TPS:

- Status Determination
- Report Delinquency
- Collections
- Field Audit

Accessing Computed Measures

You can access these functions by going to the UIS Main Menu, choosing TAX PERFORMANCE SYSTEM, then choosing the Computed Measures menu.

Source of Data for Computed Measures

Data needed to compute the TPS measures come from reports submitted to the National Office as part of the UI Required Report (UIRR) System. The reports from which data are used are:

- ETA 581 - *Contributions Operations*
- ETA 2112 - *UI Financial Summary, Unemployment Fund*
- Bureau of Labor Statistics (BLS) ES 202 - *Employment, Wages and Contributions*

Data for these reports are stored within the UI Data Base System (UIDB) maintained at both the State and National Offices.

How Computed Measures Are Gathered

The software developed for TPS automatically accesses the UIDB and, with computer coded instructions, calculates the necessary measures. New measures are available on a quarterly basis; however, the TPS software allows you to request the calculated measures as of any quarter.

There are 21 different measures. Some measures require data from more than one report quarter. TPS software automat-ically determines which quarters to use after the ending or "as of" year and quarter have been entered into the system.

Normal Use of Computed Measures Software

This guide explains how you can use the TPS software.

Although this guide is organized according to the order which the menu options appear on the screens, for Computed Measures you will normally use the software to simply generate reports. There are options allowing you to update the data originally reported. If all elements were originally reported accurately, you will not need to update the original data. If, however, the data are either inaccurate or missing, you will also use the software to query and update the data.

STATUS DETERMINATION

Defining Status Determination Measures

The main purpose of the *status determination* function is to identify newly established employers and successor employers who are liable for unemployment insurance (UI) coverage and to help them comply with State UI laws and written policies.

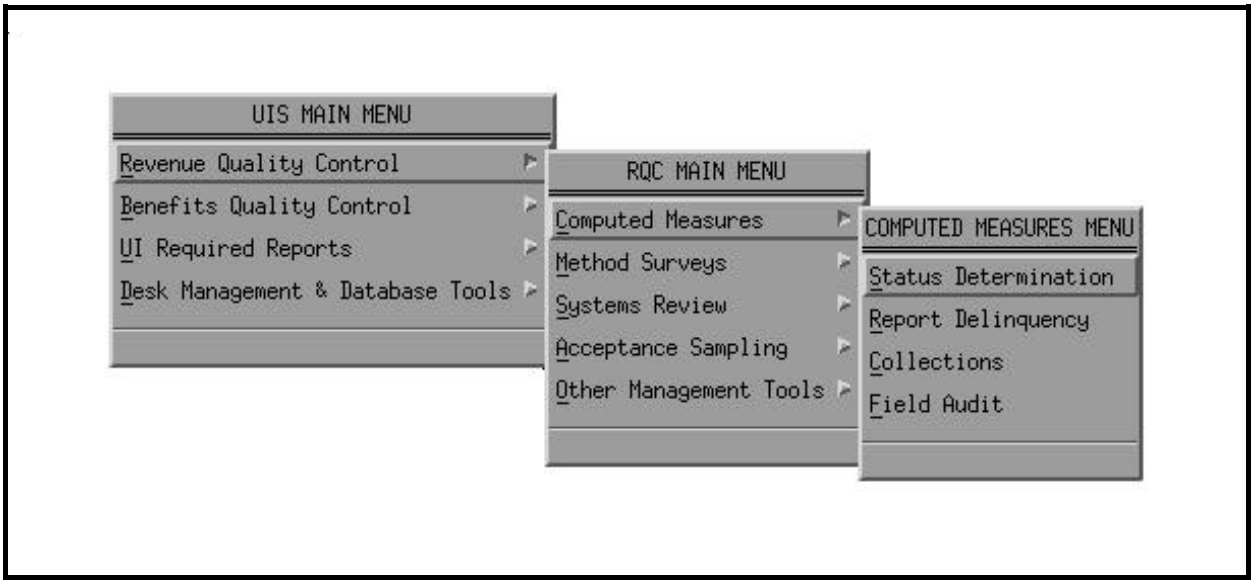
To ascertain the timeliness of new and successor status determinations, there are four computed measures:

- Percentage of status determinations made within 90 days from the last day of the quarter in which the business of newly established employers first became liable.
- Percentage of status determinations made within 180 days from the last day of the quarter in which the business of newly established employers first became liable.
- Percentage of status determinations made within 90 days from the last day of the quarter in which the business became a successor.
- Percentage of status determinations made within 180 days from the last day of the quarter in which the business became a successor.

Accessing Status Determination

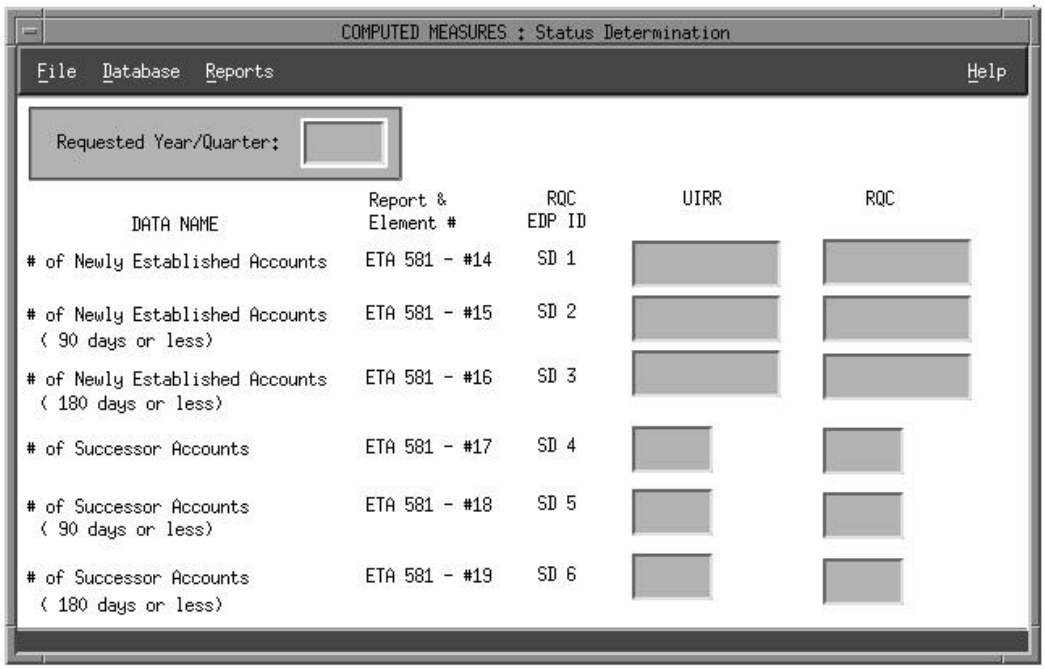
To access the Status Determination function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Status Determination option. These three menus are shown on the next page.

Menu Selection



To display the `Status Determination` main window, shown on the next page, choose the `Status Determination` option from the `Computed Measures Menu`.

Status Determination Main Window

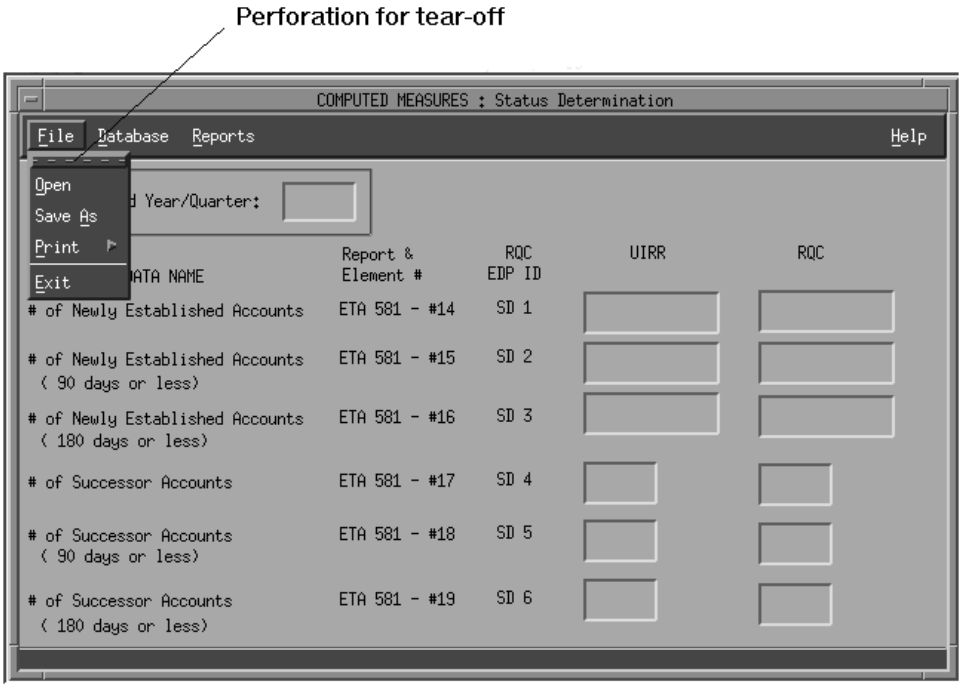


The main window has a menubar at the top with the following options: `File`, `Database`, `Reports`, and `Help`. Under each menubar option are the following options:

- ***`File`***. Consists of `Open`, `Save As`, `Print`, and `Exit`. The `Print` option is further subdivided into `System` and `Local`.
- ***`Database`***. Consists of `Query`, `Update`, `Save`, and `Delete`.
- ***`Reports`***. Consists of `Generate`.
- ***`Help`***. Consists of `Context-Sensitive Help`, `Overview`, `Keyboard`, and `Product Information`.

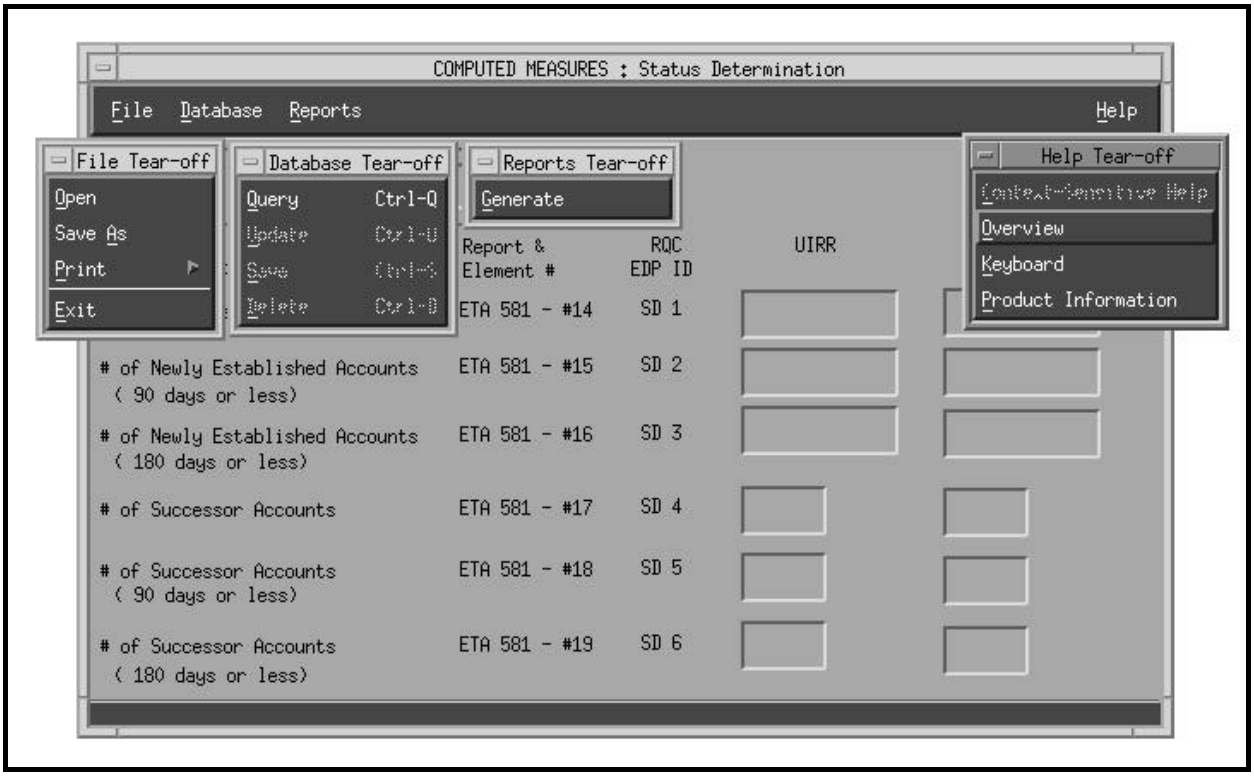
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This feature is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation



Shown below are the tear-off menus for the Computed Measures menu bar.

Tear-off Menus



Accessing Menubar Using Keyboard

To access the menubar using the keyboard, simply press F10 on the main window. The first option on the menubar is now highlighted. Using the left or right arrow key, you can move to any of the menu options desired. To activate the menu option, simply press ENTER.

To access options from the `Database` menu on the menubar, you can use one of the following methods:

- Under the `Database` option:
  - Type **q** or use arrow keys to move to the `Query` option, then press ENTER to access `Query`.
  - Type **u** or use arrow keys to move to the `Update` option, then press ENTER to access `Update`.
  - Type **s** or use arrow keys to move to the `Save` option, then press ENTER to access `Save`.
  - Type **d** or use arrow keys to move to the `Delete` option, then press ENTER to access `Delete`.

You can also access some options under the `Database` menu option with fewer keystrokes by using what are termed "hot keys". From the Status Determination main window:

- Press <Ctrl-q> to access `Query`.
- Press <Ctrl-u> to access `Update`.
- Press <Ctrl-s> to access `Save`.
- Press <Ctrl-d> to access `Delete`.

The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help

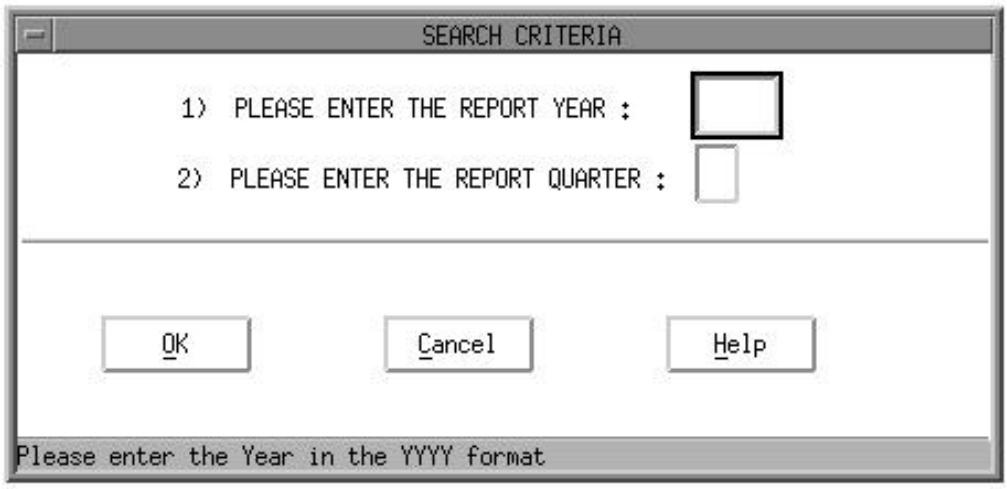
Data Entry Section

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Accessing Data Entry

To access the Data Entry section, go to the Status Determination main window. Click on `Database` in the menubar, then choose `Query`. The `Search Criteria` window appears, as shown below.

Search Criteria Window



A year and quarter must be entered that represent the "Report Year and Quarter" requested for updating.

Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal, such as a Qume), then type over the required characters.
- If a single character of the data needs to be erased, press the arrow key to move the cursor before the character that you want to erase. Then press DEL (on a PC) or the backspace key (on an X-terminal) and reenter the required data.
- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press DEL (on a PC) or the backspace key (on an X-terminal).
- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press DEL (on a PC) or the backspace key (on an X-terminal).

Validating Data

The Search Criteria window displays the parameters year and quarter. Three pushbuttons appear at the bottom — **OK**, **Cancel**, and **Help**.

In the box to the right of "1) PLEASE ENTER THE REPORT YEAR:", type the year of the report you want to inquire about in a YYYY format.

Example: 1991

For the year to be valid, it must satisfy the following validation criteria. The year cannot be:

- blank
- greater than the current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year.
After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of `"2) PLEASE ENTER THE REPORT QUARTER:"`, type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to **OK**.

Click on **OK** or press

.

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If either criterion is not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the **OK** pushbutton. To return to the main window, choose **Cancel**. To display help messages related to the `Search Criteria` window, choose **Help**.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK** . The following validations will be performed.

Validation 1

If the selected year is the current year, the program checks to ensure that you have access to the records.

Example: If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

IF selected quarter = 1
earliest access date = "05/20/1995"
IF selected quarter = 2
earliest access date = "08/20/1995"
IF selected quarter = 3
earliest access date = "11/20/1995"
IF selected quarter = 4
earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

Validation 2

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

Warning 1

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

Yes - Goes ahead with display.
No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the `Database` menu, you can now choose the **Update** option if you want to update an TPS record, or the **Delete** option if you want to delete TPS data that were previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on `Help` in the menubar and choose `Context-Sensitive`.

The validation edit check for updating the record is given below:

Warning

If any of the data entry fields are set to "0", you'll see the warning message, "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.
No - Returns control back to the field for the user to change value.

Relational Edits

There are certain relationships between fields. The software will perform the following validations:

Validation 1. If SD2 > SD1, then an error message indicating that SD2 cannot be greater than SD1 is displayed and the cursor is set on the field SD2.

Validation 2. If SD3 > SD1, then an error message indicating that SD3 cannot be greater than SD1 is displayed and the cursor is set on the field SD3.

Validation 3. If SD3 < SD2, then an error message indicating that SD3 cannot be less than SD2 is displayed and the cursor is set on the field SD3.

Validation 4. If SD5 > SD4, then an error message indicating that SD5 cannot be greater than SD4 is displayed and the cursor is set on the field SD5.

Validation 5. If SD6 > SD4, then an error message indicating that SD6 cannot be greater than SD4 is displayed and the cursor is set on the field SD6.

Validation 6. If SD6 < SD5, then an error message indicating that SD6 cannot be less than SD5 is displayed and the cursor is set on the field SD6.

Saving Data

To save the updated record to the database, select **Save** from the `Database` option. The validations are then performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under `File`, `Database`, or `Reports` options can be chosen. If you choose any of these options, you'll see the warning message, `"Latest changes have not been saved, do you wish to save before continuing?"` You have three options:

Yes	-	Saves the record and continues with the menu item process chosen.
No	-	Does not save the record but continues with the menu item process chosen.
Cancel	-	Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the `Database` option, you'll see the warning message, `"Are you sure you wish to delete?"` You have two options:

Yes	-	Deletes the TPS record and clears the TPS column displayed.
No	-	Returns you to the main window.

Report Generation Section

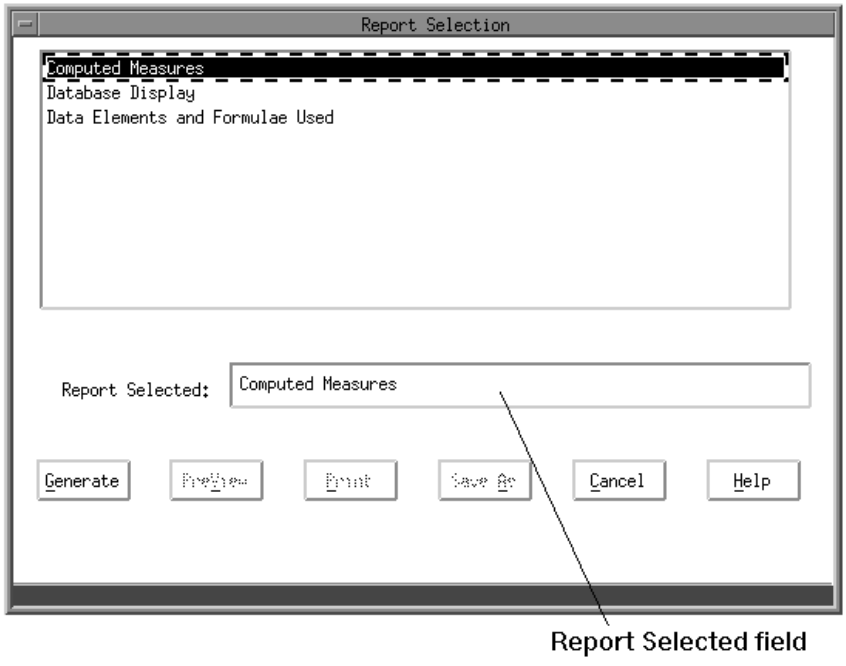
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

Accessing Report Generation

To display the Report Selection window, go to the Status Determination main window. Click on `Reports` in the menubar, then choose **Generate**. The `Report Selection` window, shown below, is displayed.

Report Selection Window



The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — **Generate**, **PreView**, **Print**, and **Save As** — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

Generating Reports

The first time you access the `Report Selection` window, the default report — which is the Computed Measures report — is highlighted both at the top and in the `Report Selected` window. The **Generate** pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press ENTER and that report name will appear in the Selection window.

When you choose either a Computed Measures report or a Database Display report and then press **Generate**, a `Search Criteria` window prompts you for `Year` and `Quarter` of the report. If, however, you choose a Data Elements and Formulae Used report, no `Search Criteria` window is displayed. The validations on parameters on this `Search Criteria` window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.

When you type valid year and quarter parameters, the `Search Criteria` window closes and you see the following message on the status line,

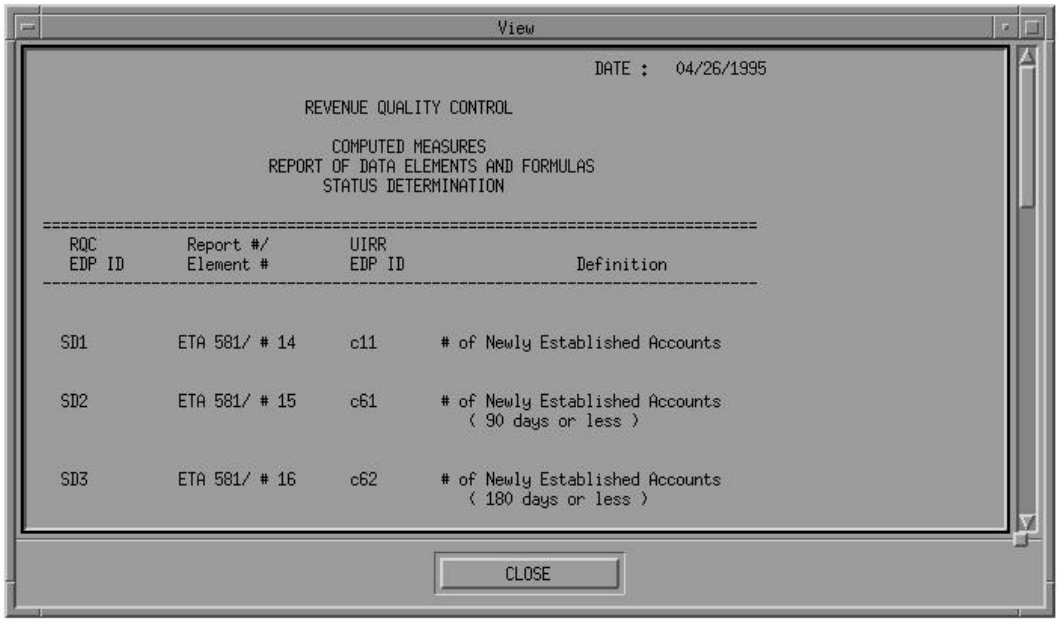
```
Report Generation in Progress ... Please Wait
```

When the report generation is completed, the pushbuttons **PreView**, **Print**, and **Save As** become active.

Viewing Reports

To view a report on the screen, choose **PreView**. Shown below is an example of a `PreView` window.

PreView Window



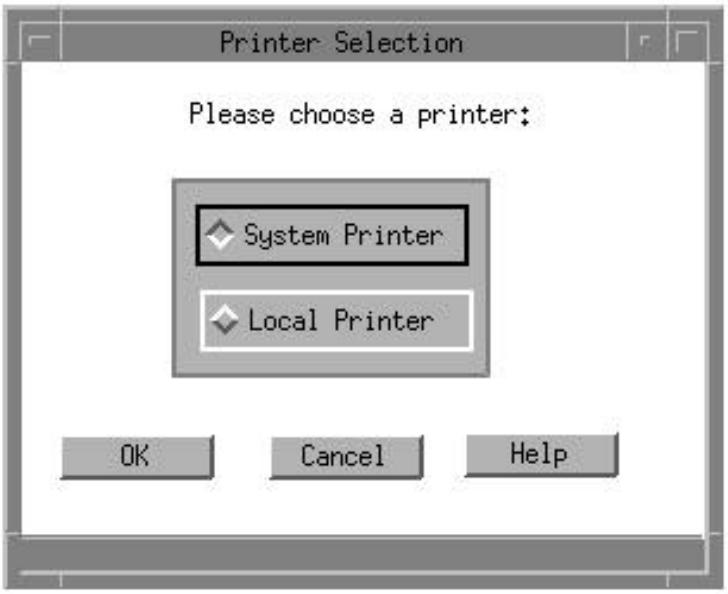
You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown buttons. To close the window and return to

the Report Selection window, either click on the **Close** button or press TAB three times to highlight the **Close** button, then press the space bar.

Printing Reports

To print a report, choose **Print**. The `Printer Selection` window, shown below, appears.

Printer Selection Window



You have two options: `System Printer` and `Local Printer`. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: **OK**, **Cancel**, and **Help**. When

you choose **OK**, the `Printer Selection` window closes, the report is printed on the printer selected, and you're returned to the `Reports Selection` window. Choose **Cancel** to return to the `Reports Selection` window. Choose **Help** to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

Saving Reports

A *session* begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you logon, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose **Save As**. The `Save As` window, shown below, appears.

Save As Window

At the bottom of the `Save As` window three pushbuttons appear: **OK**, **Cancel** and **Help**. If you choose **OK**, the default report name and path are used and the file is saved in the default directory which is your home directory. However, if you choose to change

the default path and/or the filename, type over the default path/filename with a path/filename of your choice.
Click on the **OK** pushbutton to accept input and invoke the "Save" process. Using the keyboard, you can use the **Tab** key to move to the pushbutton **OK** and then use the arrow keys to traverse the pushbuttons. To activate a pushbutton option, press the space bar when the focus is on the pushbutton desired. Any file saved will be checked for valid path and filename. Shown below are the default filenames generated by the system for each report selection.

Report Selection	Default filename
Computed Measures	cm_s_m_Year_Qtr.login_id Ex: cm_s_m_1990_1.timmsr
Database Display	cm_s_d_Year_Qtr.login_id Ex: cm_s_d_1990_1.timmsr
Data Elements and Formulae Used	cm_s_list.timmsr Ex: cm_s_list.timmsr

When you choose **Cancel** on the `Reports Selection` window, the `Reports Selection` window closes and you're returned to the main window.

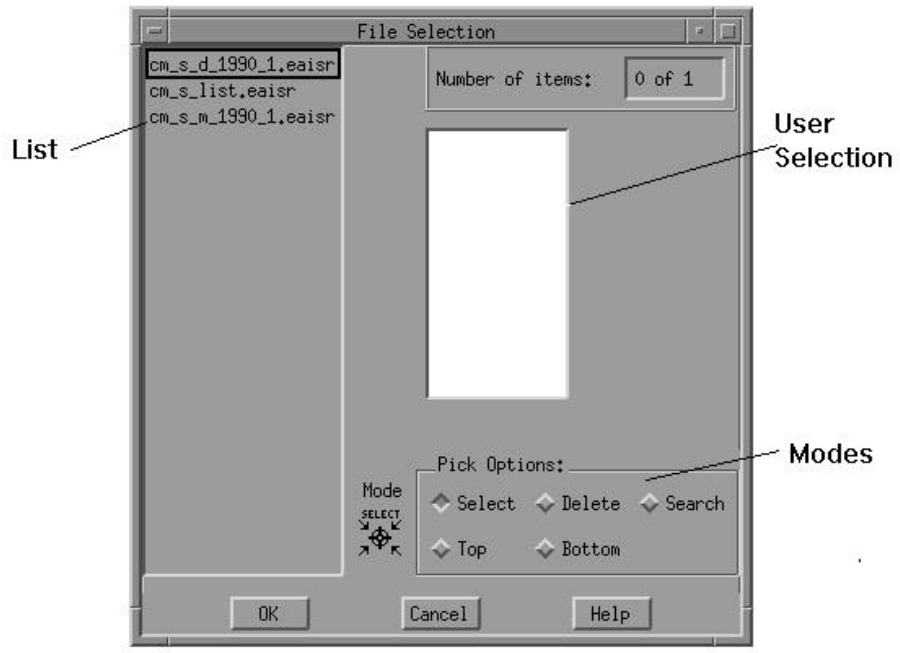
When you choose **Help** on the `Reports Selection` window, help messages related to the `Reports Selection` window appear.

File Options Available After Generating Reports

If you generate reports during a session, *after* the reports are generated you have the following options available from the `File` option in the menubar: **Open**, **Save As**, and **Print**.

Open. If you choose **Open**, a `File Selection` window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message `"No Report files present for Retrieval"` appears.

File Selection Window



Three pushbuttons are displayed at the bottom of the `File Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To display the file, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `File Selection` window.

Save As. To save selected reports generated during the session, choose **Save As**. A `Save As` window appears. If, however, no reports were generated during this session, a message `"No Report files present to Save"` is displayed.

Three pushbuttons are shown at the bottom of the `Save As` window: **OK**, **Cancel**, and **Help**. When you choose **OK**, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Save As` window.

Print. To print selected reports generated during the session, choose **Print**. A submenu with the options `System` and `Local` appears. Choose either option to display the `File Selection` window. However, if no reports were generated during this session, you'll see the following message in the message window.

```
No Report files present for Print.
```

Three pushbuttons are displayed at the bottom of the `Printer Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Printer Selection` window.

A *radio button* is a button grouped with other buttons that allows you to choose only one option from the group at a time, like selecting your favorite radio station. In the `File Selection` window, which appears in this section, the following radio buttons are available as auxiliary options.

Select Allows you to choose files from the box marked `List`.

Delete Allows you to delete any or all files from the `User Selection` box. To delete a file from the `User Selection` box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the **Delete** radio button.

Search Generates a `Search Dialog` box from which you can enter a string (the full path name for the desired file) to be found within the box marked `List`.

Top Display the top of the list in the box marked List.

Bottom Displays the bottom of the list in the box marked `List`.

Samples of Reports

The Report Generation application produces three types of reports:

- Report of Computed Measures
- Database Display Report
- Report of Data Elements and Formulae Used

Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.

Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
STATUS DETERMINATIONS

State: CA
Requested Year/Qtr: 1990/1
==========

A: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business first became liable 94.8%

B: Percentage of Status Determinations of newly established accounts made within 180 days from the last day of the quarter in which the business first became liable 97.5%

C: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business became a successor 92.0%

D: Percentage of Status Determinations made within 180 days from the last day of the quarter in which the business became a successor 93.9%

Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
STATUS DETERMINATION

State: CA
Requested Year/Qtr: 1990/2
==========

A: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business first became liable ..... UNKNOWN

B: Percentage of Status Determinations of newly established accounts made within 180 days from the last day of the quarter in which the business first became liable ..... UNKNOWN

C: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business became a successor 92.0%

D: Percentage of Status Determinations made within 180 days from the last day of the quarter in which the business became a successor 93.9%

Note: UNKNOWN indicates missing quarter of data needed for computation.
Refer to the REPORT OF MISSING DATA.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF MISSING DATA
STATUS DETERMINATION

State: CA
Requested Year/Qtr: 1990/2
==========

A: Measure could not be computed.
- Missing data in SD1
- Missing data in SD2

B: Measure could not be computed.
- Missing data in SD2
- Missing data in SD3

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.

Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
DATABASE DISPLAY
STATUS DETERMINATION

State: CA
Requested Year/Qtr: 1990/1

Definition	Report/ Element #	TPS EDP ID	UIRR	TPS
# of Newly Established Accounts	ETA 581/14	SD1	45,220	47,000
# of Newly Established Accounts 90 days or less	ETA 581/15	SD2	39,000	42,000
# of Newly Established Accounts 180 days or less	ETA 581/16	SD3	44,000	45,000
# of Successor Accounts	ETA 581/17	SD4	1,320	2,300
# of Successor Accounts 90 days or less	ETA 581/18	SD5	1,215	1,500
# of Successor Accounts 180 days or less	ETA 581/19	SD6	1,240	2,000

Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF DATA ELEMENTS AND FORMULAE
STATUS DETERMINATION

TPS EDP ID	Report #/ Element #	UIRR EDP ID	Definition
SD1	ETA 581/14	c11	# of Newly Established Accounts
SD2	ETA 581/15	c61	# of Newly Established Accounts (90 days or less)
SD3	ETA 581/16	c62	# of Newly Established Accounts (180 days or less)
SD4	ETA 581/17	c68	# of Successor Accounts
SD5	ETA 581/18	c59	# of Successor Accounts (90 days or less)
SD6	ETA 581/19	c60	# of Successor Accounts (180 days or less)

Report of Data Elements and Formulae Used (*Continued*)

A: Percent of Determinations Within 90 days - New Accounts

$$\frac{\text{SD2 for Qx}}{\text{SD1 for Qx}} * 100$$

B: Percent of Determinations Within 180 days - New Accounts

$$\frac{\text{SD3 for Qx}}{\text{SD1 for Qx}} * 100$$

C: Percent of Determinations Within 90 days - Successor Accounts

$$\frac{\text{SD5 for Qx}}{\text{SD4 for Qx}} * 100$$

D: Percent of Determinations Within 180 days - Successor Accounts

$$\frac{\text{SD6 for Qx}}{\text{SD4 for Qx}} * 100$$

Note: Qx represents the requested year/quarter.

Help Section

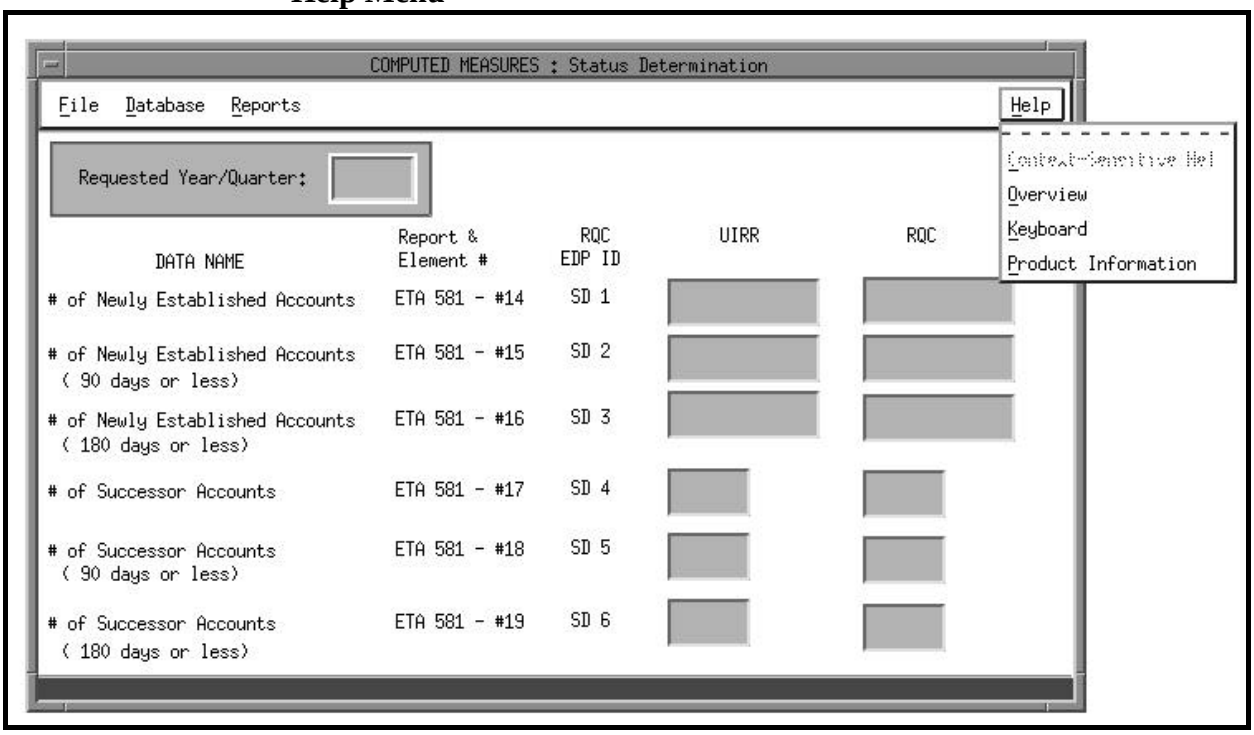
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help

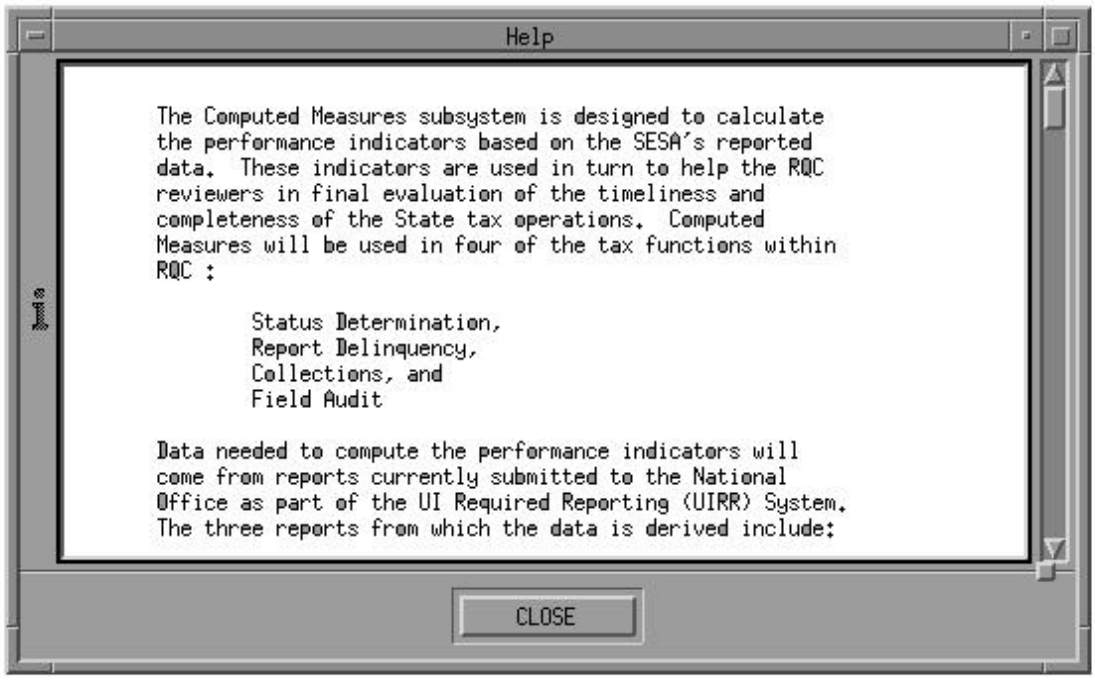
To access the Help option, go to the `Status Determination` main window and choose the `Help` option. The Help menu, shown below, appears.

Help Menu



Shown below is the screen display of a typical help window.

Help Window



If you choose the `Context-Sensitive Help` option from the `Help` menu, a `Help` window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (*Note*: The `Context-Sensitive Help` option is active only if you choose **Update**

from the Database menu to clarify edits/definitions for entry fields.) To exit the Context-Sensitive Help option and return to the main window, either click on **Close** or press TAB three times to highlight the **Close** button, then press the space bar.

To see an overview of the subsystem, choose Overview. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. To return to the main window, either click on **Close** or press TAB three times to highlight the **Close** button, then press the space bar.

REPORT DELINQUENCY

Defining Report Delinquency Measures

The main purpose of the *report delinquency* function is to assist employers to comply with State laws and regulations for employment reporting and to resolve delinquent reports.

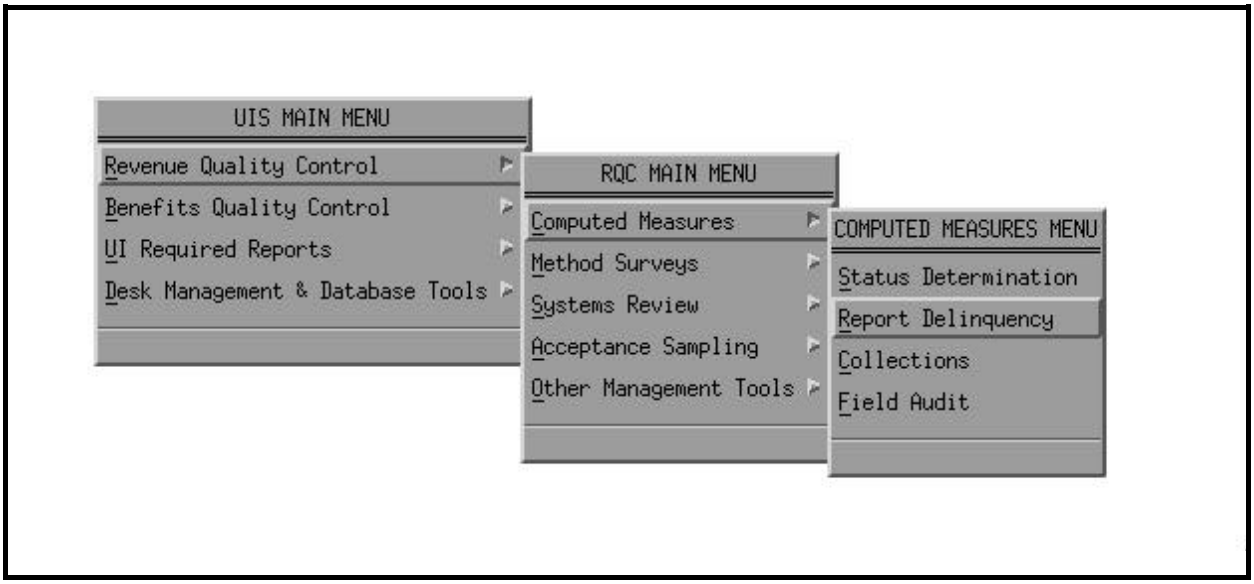
To ascertain the timeliness of employer reporting and delinquent report resolution, there are six computed measures:

- Percentage of reports filed timely (Contributory employers).
- Percentage of reports secured by the end of the following quarter (Contributory employers).
- Percentage of reports secured plus delinquencies resolved within 90 days (Contributory employers).
- Percentage of reports filed timely (Reimbursing employers).
- Percentage of reports secured by the end of the following quarter (Reimbursing employers).
- Percentage of reports secured plus delinquencies resolved within 90 days (Reimbursing employers).

Accessing Report Delinquency

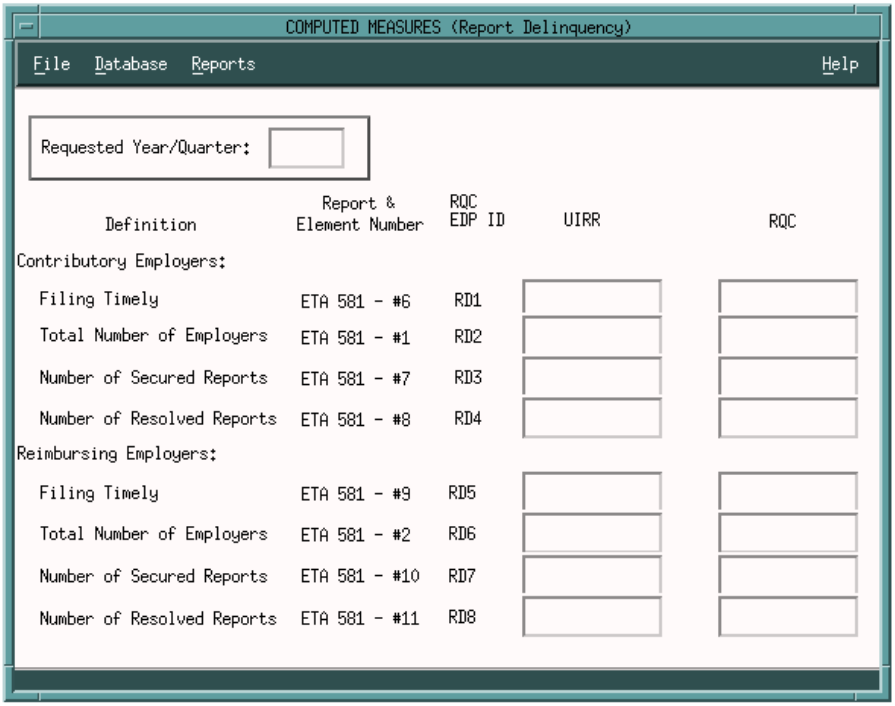
To access the Report Delinquency function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Report Delinquency option. These three menus are shown on the next page.

Menu Selection



To display the `Report Delinquency` main window, shown on the next page, choose the `Report Delinquency` option from the `Computed Measures Menu`.

Report Delinquency Main Window

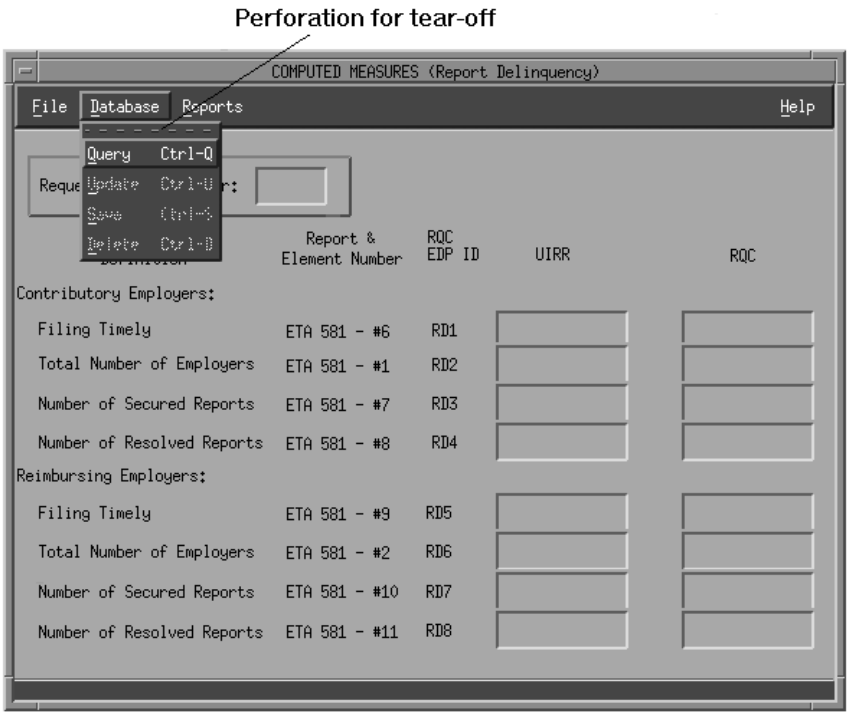


The main window has a menubar at the top with the following options: `File`, `Database`, `Reports`, and `Help`. Under each menubar option are the following options:

- ***`File`***. Consists of `Open`, `Save As`, `Print`, and `Exit`. The `Print` option is further subdivided into `System` and `Local`.
- ***`Database`***. Consists of `Query`, `Update`, `Save`, and `Delete`.
- ***`Reports`***. Consists of `Generate`.
- ***`Help`***. Consists of `Context-Sensitive Help`, `Overview`, `Keyboard`, and `Product Information`.

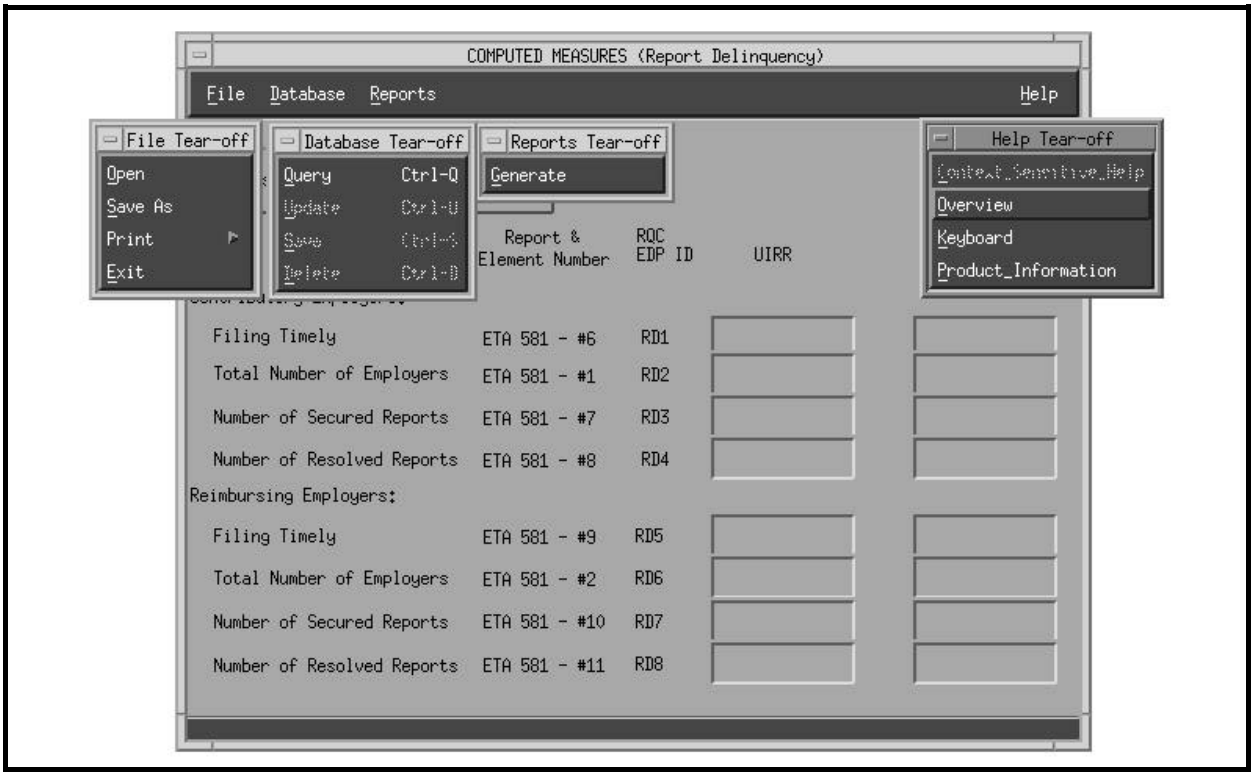
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation



Shown below are the tear-off menus for the Computed Measures menu bar.

Tear-off Menus



Accessing Menubar Using Keyboard

To access the menubar using the keyboard, simply press F10 on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press ENTER.

For example to access options from the `Database` menu on the menubar, you can also use one of the following methods:

- Under the `Database` option:
  - Type **q** or use arrow keys to move to the `Update` option, press ENTER to access `Query`.
  - Type **u** or use arrow keys to move to the `Update` option, then press ENTER to access `Update`.
  - Type **s** or use arrow keys to move to the `Save` option, press ENTER to access `Save`.
  - Type **d** or use arrow keys to move to the `Delete` option, then press ENTER to access `Delete`.

You can also access some options under the `Database` menu option with fewer keystrokes by using what are termed "hot keys". From the Report Delinquency main window:

- Press <Ctrl-q> to access `Query`.
- Press <Ctrl-u> to access `Update`.
- Press <Ctrl-s> to access `Save.`
- Press <Ctrl-d> to access `Delete.`

The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help

Data Entry Section

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Accessing Data Entry

To access the Data Entry section, go to the Report Delinquency main window. Click on `Database` in the menubar, then choose `Query`. The `Search Criteria` window appears, as shown below.

Search Criteria Window

A year and quarter must be entered that represents the "Report Year and Quarter" requested for updating.

Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal such as a Qume), then type over the required characters.
- If a single character of the data needs to be erased, press the arrow keys to move the cursor before the character to be erased, then press DEL (on a PC) or the backspace key (on an X-terminal) and reenter the required data.
- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press DEL (on a PC) or the backspace key (on an X-terminal).
- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press DEL (on a PC) or the backspace key (on an X-terminal).

Validating Data

The `Search Criteria` window displays the parameters year and quarter. Three pushbuttons appear at the bottom — **OK**, **Cancel**, and **Help**.

In the box to the right of `"1) PLEASE ENTER THE REPORT YEAR:",` type the year of the report you want to inquire about in a YYYY format.

Example: 1991

For the year to be valid, it must satisfy the following *validation criteria*. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year.
After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER:", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to **OK**.

Click on **OK** or press

.

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the **OK** pushbutton. To return to the main window, choose **Cancel**. To display help messages related to the Search Criteria window, choose **Help**.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK**. The following validations will now be performed.

Validation 1

If the selected year is the current year, the program checks to ensure that you have access to the records.

Example: If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

IF selected quarter = 1
earliest access date = "05/20/1995"
IF selected quarter = 2
earliest access date = "08/20/1995"
IF selected quarter = 3
earliest access date = "11/20/1995"
IF selected quarter = 4
earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

Validation 2

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

Warning 1

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

Yes - Goes ahead with the display process.
No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the `Database` menu, you can now choose the **Update** option if you want to update an TPS record, or the **Delete** option if you want to delete TPS data that was previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on `Help` in the menubar and choose `Context-Sensitive`.

The validation edit check for updating the record is given below.

Warning

If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.

No - Returns control back to the field for you to change value.

Relational Edits

There are certain relationships between fields. The software performs the following validations:

Validation 1. If RD3 < RD1, then an error message indicating that RD3 should be greater than or equal to RD1 is displayed and the cursor is set on the field RD3.

Validation 2. If RD3 > (110% of RD2), then a warning message indicating that RD3 cannot be greater than 110% of RD2 is displayed. If the values are not acceptable then the cursor is set on the field RD3.

Validation 3. If RD4 > (110% of RD2), then a warning message indicating that RD4 cannot be greater than 110% of RD2 is displayed. If the values are not acceptable then the cursor is set on the field RD4.

Validation 4. If RD7 < RD5, then an error message indicating that RD7 cannot be less than RD5 is displayed and the cursor is set on the field RD7.

Validation 5. If RD7 > (110% of RD6), then a warning message indicating that RD7 cannot be greater than 110% of RD6 is displayed. If the values are not acceptable then the cursor is set on the field RD7.

Validation 6. If RD8 > (110% of RD6), then a warning message indicating that RD8 cannot be greater than 110% of RD6 is displayed. If the values are not acceptable then the cursor is set on the field RD8.

Saving Data

To save the updated record to the database, select **Save** from the `Database` option. The validations are then performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under `File`, `Database`, or `Reports` options can be chosen.

If you choose any of these options, you'll see the warning message, `"Latest changes have not been saved, do you wish to save before continuing?"` You have three options:

Yes	-	Saves the record and continues with the menu item process chosen.
No	-	Does not save the record but continues with the menu item process chosen.
Cancel	-	Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the `Database` option, you'll see the warning message, `"Are you sure you wish to delete?"` You have two options:

Yes	-	Deletes the TPS record and clears the TPS column displayed.
No	-	Returns you to the main window.

Report Generation Section

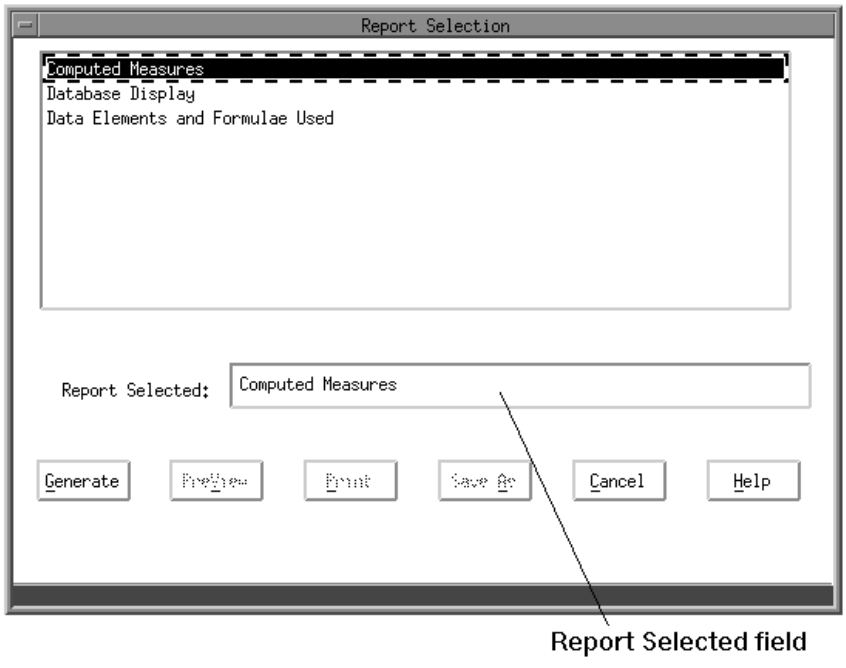
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

Accessing Report Generation

To display the Report Selection window, go to the Report Delinquency main window. Click on `Reports` in the menubar, then choose **Generate**. The `Report Selection` window, shown below, is displayed.

Report Selection Window



The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — **Generate**, **PreView**, **Print**, and **Save As** — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

Generating Reports

The first time you access the `Report Selection` window, the default report — which is the Computed Measures report — is highlighted both at the top and in the `Report Selected` field. The **Generate** pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press

and that report name will appear in the `Report Selected` field.

When you choose either a Computed Measures report or a Database Display report and then press **Generate**, a `Search Criteria` window prompts you for the report's `Year` and `Quarter`. If, however, you choose a Data Elements and Formulae Used report, no `Search Criteria` window is displayed. The validations on parameters on this `Search Criteria` window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.

When you type valid year and quarter parameters, the `Search Criteria` window closes and you see the following message on the status line,

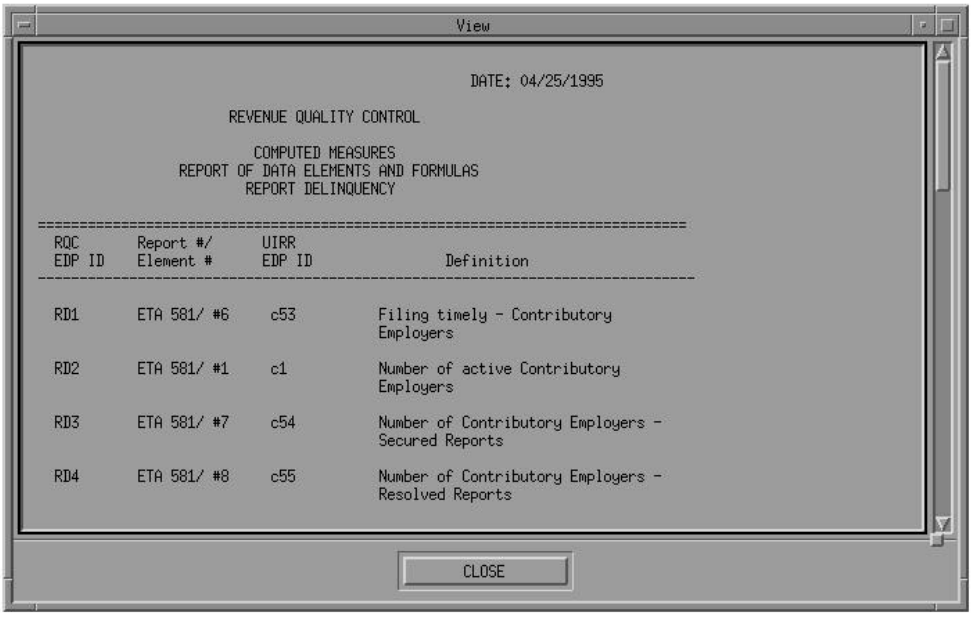
```
Report Generation in Progress ... Please Wait
```

When the report generation is completed, the pushbuttons **PreView**, **Print**, and **Save As** become active.

Viewing Reports

To view a report on the screen, choose **PreView**. Shown below is an example of a `PreView` window.

PreView Window



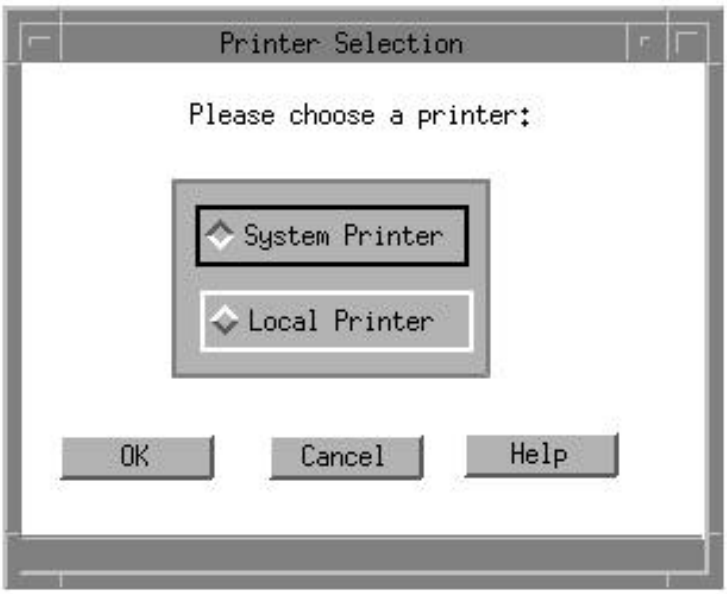
You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown keys. To close the window and return to the

`Report Selection` window, either click on the **Close** button, or press the TAB three times to highlight the **Close** button, then press the space bar.

Printing Reports

To print a report, choose **Print**. The `Printer Selection` window, shown below, appears.

Printer Selection Window



You have two options: `System Printer` and `Local Printer`. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of the `Printer Selection` window there are three pushbuttons: **OK**, **Cancel**, and **Help**. When you choose **OK**, the printer selection

window closes, the report is printed on the printer selected, and you're returned to the `Reports selection` window. Choose **Cancel** to return to the `Reports Selection` window. Choose **Help** to view help messages related to the printer selection window.

See examples of printed report in the Samples of Reports section.

Saving Reports

A *session* begins when you log in and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you login, the reports (Computed Measures and the Database Display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose **Save As**. The `Save As` window, shown below, appears.

Save As Window

At the bottom of the `Save As` window three pushbuttons appear: **OK**, **Cancel** and **Help**. If you choose **OK**, the default report name and path are used and the file is saved in the default directory that is your home directory. However, if you

choose to change the default path or/and the filename, type over the default path/filename with a path/filename of your choice. Click on the **OK** pushbutton to accept the input and activate the "Save"

process. Using the keyboard, you can press TAB to move to the pushbutton **OK**, then use the arrow keys to traverse the pushbuttons. To activate a pushbutton option, press the space bar when the focus in on the pushbutton desired. Any files saved will be checked for valid path and filenames. Shown below are the default filenames generated by the system for each report selection.

Report Selection	Default filename
Computed Measures	cm_r_m_Year_Qtr.login_id Ex: cm_r_m_1990_1.timmsr
Database Display	cm_r_d_Year_Qtr.login_id Ex: cm_r_d_1990_1.timmsr
Data Elements and Formulae Used	cm_r_list.timmsr Ex: cm_r_list.timmsr

When you choose **Cancel** in the `Reports Selection` window, the `Reports Selection` window closes and you're returned to the main window.

When you choose **Help** in the `Reports Selection` window, help messages related to the `Reports Selection` window appear.

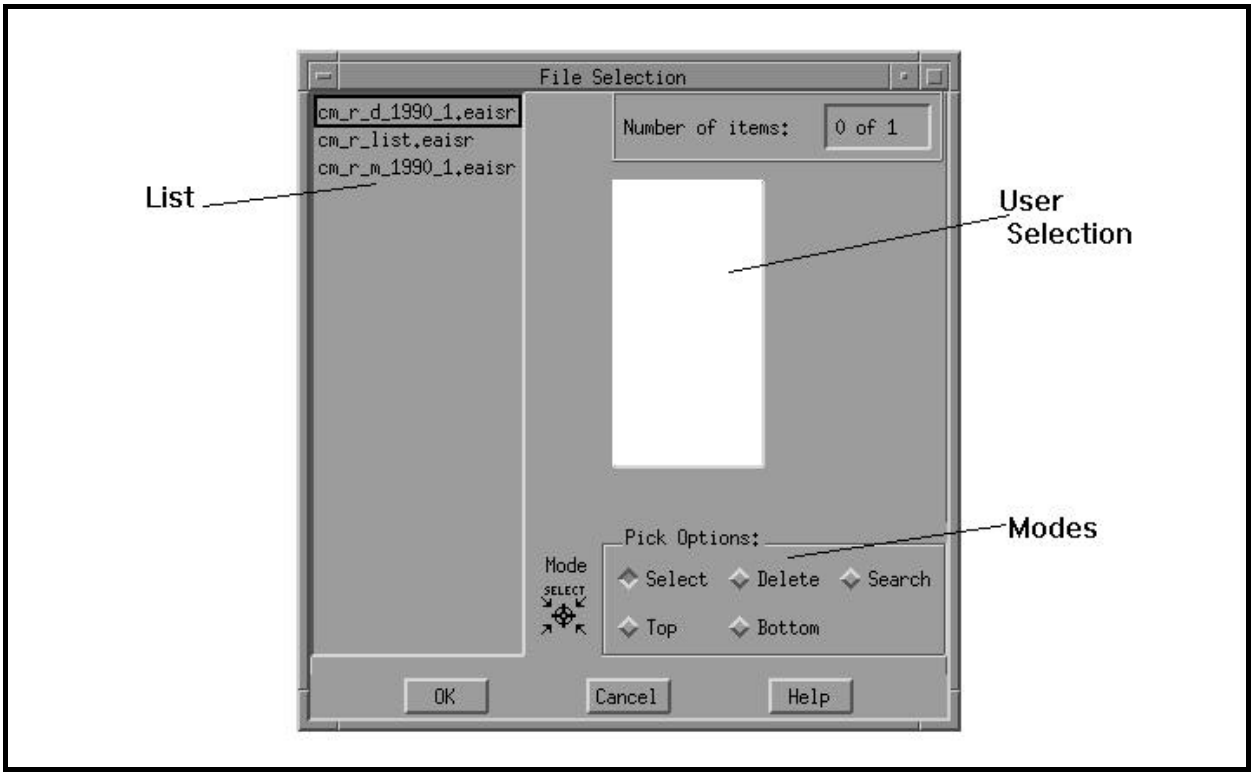
If you generate reports during a session, *after* the reports are

File Options Available After Generating Reports

generated you have the following options available from the `File` option in the menubar: **Open**, **Save As**, and **Print**.

Open. If you choose **Open**, a `File Selection` window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message "`No Report files present for Retrieval`" appears.

File Selection Window



Three pushbuttons are displayed at the bottom of the `File Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To display the file, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `File Selection` window.

Save As. To save selected reports generated during the session, choose **Save As**. A `Save As` window appears. If, however, no reports were generated during this session, a message `"No Report files present to Save"` is displayed.

Three pushbuttons are shown at the bottom of the `Save As` window: **OK**, **Cancel**, and **Help**. When you choose **OK**, the default report name and path are used and the file is saved in the default directory. Any files saved are checked for valid path and filenames. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Save As` window.

Print. To print selected reports generated during the session, choose **Print**. A submenu with the options `System` and `Local` appears. Choose either option to display the `File Selection` window. However, if no reports were generated during this session, you'll see the following message in the message window.

```
No Report files present for Print.
```

Three pushbuttons are displayed at the bottom of the `Printer Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Printer Selection` window.

A *radio button* is a button grouped with other buttons that allows

you to choose only one option from the group at a time, like selecting your favorite radio station. In the `File Selection` window, which appears in this section, the following radio buttons are available as auxiliary options.

Select Allows you to choose files from the box marked `List`.

Delete Allows you to delete any or all files from the `User Selection` box. To delete a file from the `User Selection` box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the **Delete** radio button.

Search Generates a `Search Dialog` box from which you can enter a string (that is, the full path name for the desired file) to be found within the box marked `List`.

Top Displays the top of the list in the box marked `List`.

Bottom Displays the bottom of the list in the box marked `List`.

Samples of Reports

The Report Generation application produces three types of reports:

- Report of Computed Measures
- Database Display Report
- Report of Data Elements and Formulae Used

Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.

Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

DATE: 04/20/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
REPORT DELINQUENCY

STATE : CA
REQUESTED YEAR/QTR : 1994/1

==========

Contributory Employers

A: Percentage of Reports filed timely	5.25%
B: Percentage of Reports secured by the end of the following quarter	3.11%
C: Percentage of Reports secured plus delinquencies resolved within 180 days	1.97%

Reimbursing Employers

D: Percentage of Reports filed timely	79.54%
E: Percentage of Reports secured by the end of the following quarter	78.65%
F: Percentage of Reports secured plus delinquencies resolved within 180 days	19.43%

Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

DATE: 04/20/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
REPORT DELINQUENCY

STATE : CA
REQUESTED YEAR/QTR : 1994/1

==========

Contributory Employers

A: Percentage of Reports filed timely	UNKNOWN
B: Percentage of Reports secured by the end of the following quarter	3.11%
C: Percentage of Reports secured plus delinquencies resolved within 180 days	1.97%

Reimbursing Employers

D: Percentage of Reports filed timely	79.54%
E: Percentage of Reports secured by the end of the following quarter	UNKNOWN
F: Percentage of Reports secured plus delinquencies resolved within 180 days	19.43%

Note: UNKNOWN indicates missing quarter of data needed for computation.
Refer to the REPORT OF MISSING DATA.

DATE: 04/20/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF MISSING DATA
REPORT DELINQUENCY

STATE : CA
REQUESTED YEAR/QTR : 1994/1
==========

Measure A could not be computed. Missing data in RD 1
for the following year/quarter(s):
1993/4

Measure E could not be computed. Missing data in RD 7
for the following year/quarter(s):
1993/2

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.

Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

DATE: 04/20/1995
TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
DATABASE DISPLAY
REPORT DELINQUENCY

STATE : CA
REQUESTED YEAR/QTR : 1993/3

Definition	Report/ Element #	TPS EDP ID	UIRR	TPS
Contributory Employers:				
Filing Timely	ETA 581/6	RD1	20,000	23,000
# of Employers	ETA 581/1	RD2	764,553	764,553
# of Secured Reports	ETA 581/7	RD3	40,000	41,000
# of Resolved Reports	ETA 581/8	RD4	4,567	4,600
Reimbursing Employers:				
Filing Timely	ETA 581/9	RD5		44,844
# of Employers	ETA 581/2	RD6	5,158	51,584
# of Secured Reports	ETA 581/10	RD7		6,000
# of Resolved Reports	ETA 581/11	RD8		490

Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

Date: 04/20/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF DATA ELEMENTS AND FORMULAE
REPORT DELINQUENCY

TPS EDP ID	Report #/ Element #	UIRR EDP ID	Definition
RD1	ETA 581/ #6	c53	Filing timely - Contributory Employers
RD2	ETA 581/ #1	c1	Number of active Contributory Employers
RD3	ETA 581/ #7	c54	Number of Contributory Employers - Secured Reports
RD4	ETA 581/ #8	c55	Number of Contributory Employers - Resolved Reports
RD5	ETA 581/ #9	c56	Filing timely - Reimbursing Employers
RD6	ETA 581/ #2	c2	Number of active Reimbursing Employers
RD7	ETA 581/ #10	c57	Number of Reimbursing Employers - Secured Reports
RD8	ETA 581/ #11	c58	Number of Reimbursing Employers - Resolved Reports

Report of Data Elements and Formulae Used (*Continued*)

Contributory Employers

A: Percent of Reports Filed Timely

$$\frac{\text{(Sum of RD1) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD2) for Q(x-4), Q(x-3), Q(x-2), Q(x-1)}} *100$$

B: Percent of Reports Secured by the last day of the following quarter

$$\frac{\text{(Sum of RD3) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD2) for Q(x-4), Q(x-3), Q(x-2), Q(x-1)}} *100$$

C: Percent of Reports Secured Plus Delinquencies Resolved within 180 days

$$\frac{\text{(Sum of RD4) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD2) for Q(x-5), Q(x-4), Q(x-3), Q(x-2)}} *100$$

Reimbursing Employers

D: Percent of Reports Filed Timely

$$\frac{\text{(Sum of RD5) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD6) for Q(x-4), Q(x-3), Q(x-2), Q(x-1)}} *100$$

E: Percent of Reports Secured by the last day of the following quarter

$$\frac{\text{(Sum of RD7) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD6) for Q(x-4), Q(x-3), Q(x-2), Q(x-1)}} *100$$

F: Percent of Reports Secured Plus Delinquencies Resolved within 180 days

$$\frac{\text{(Sum of RD8) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of RD6) for Q(x-5), Q(x-4), Q(x-3), Q(x-2)}} *100$$

Note: Qx represents the requested year/quarter.

Help Section

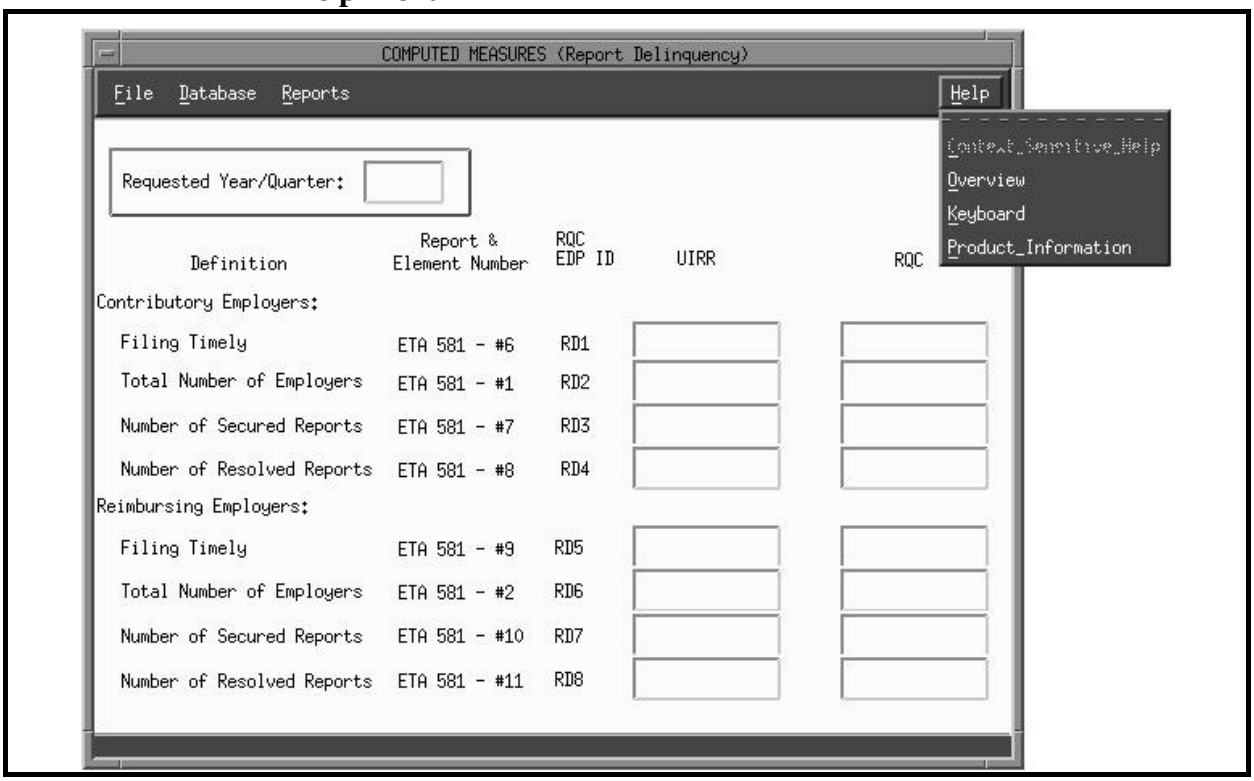
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help

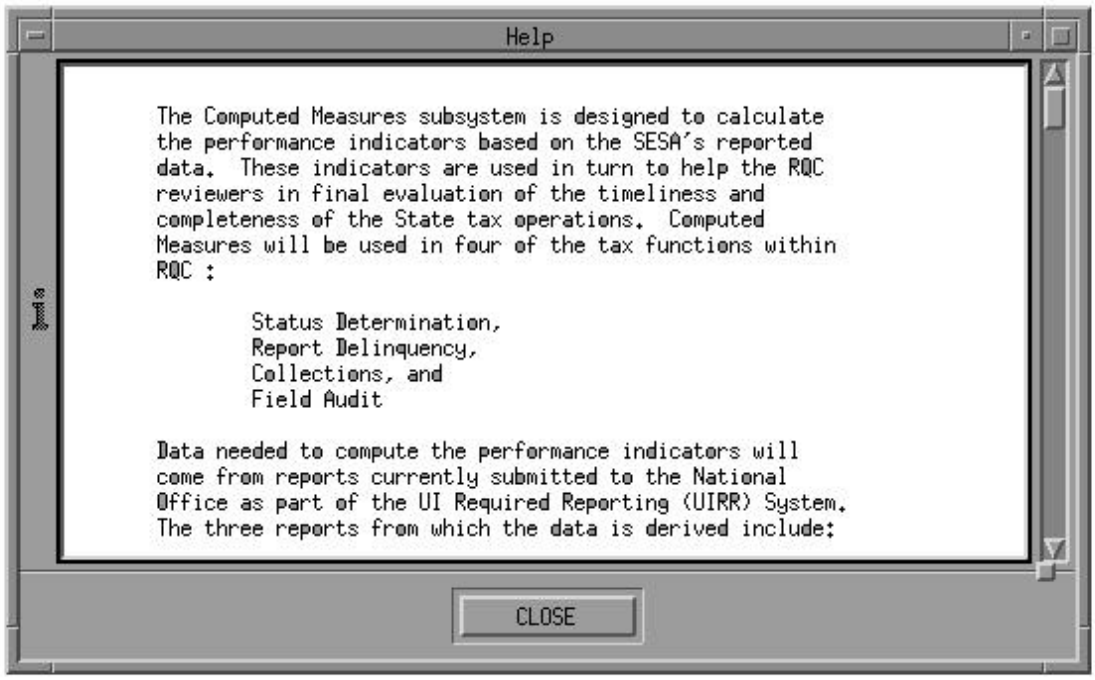
To access the Help option, go to the `Report Delinquency` main window and choose the `Help` option. The Help menu, shown below, appears.

Help Menu



Shown below is the screen display of a typical help window.

Help Window



If you choose the `Context-Sensitive Help` option from the `Help` menu, a `Help` window appears with messages related to the field on focus. You can view the help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (*Note*: The `Context-Sensitive Help` option is active only if you choose **Update** from the `Database` menu to clarify edits/definitions for entry fields.) To exit the `Context-Sensitive Help` option and return to the main

window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see an overview of the subsystem, choose `Overview`. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the `Keyboard` option from the `Help` menu. You can view the help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with product release information for this part of the application, choose the `Product Information` option from the `Help` menu. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

COLLECTIONS

Defining Collections Measures

The main purpose of the *collections* function is to assist employers to comply with State laws and regulations, promote voluntary payment compliance, collect past due amounts from employers, and manage accounts receivable.

To ascertain the timeliness of employer payment and management of accounts receivable, there are eight computed measures:

For Contributory Employers:

- Percentage of amounts due paid timely.
- Turnover Ratio - The ratio of receivables liquidated and declared uncollectible and/or doubtful to taxes due.
- Receivables declared uncollectible and/or doubtful. The percent of tax due declared uncollectible and/or doubtful.
- Accounts receivable at the end of the report period as a percent of tax due.

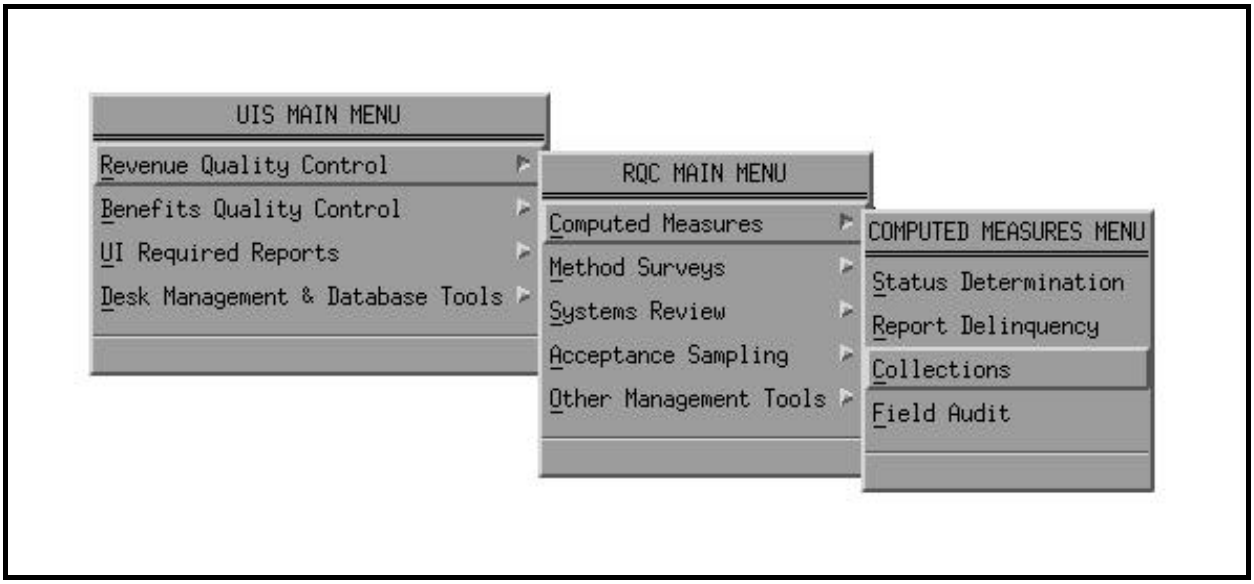
For Reimbursing Employers:

- Percentage of amounts due paid timely.
- Turnover Ratio - The ratio of receivables liquidated and declared uncollectible and/or doubtful to taxes due.
- Receivables declared uncollectible and/or doubtful. The percent of tax due declared uncollectible and/or doubtful.
- Accounts receivable at the end of the report period as a percent of tax due.

Accessing Collections

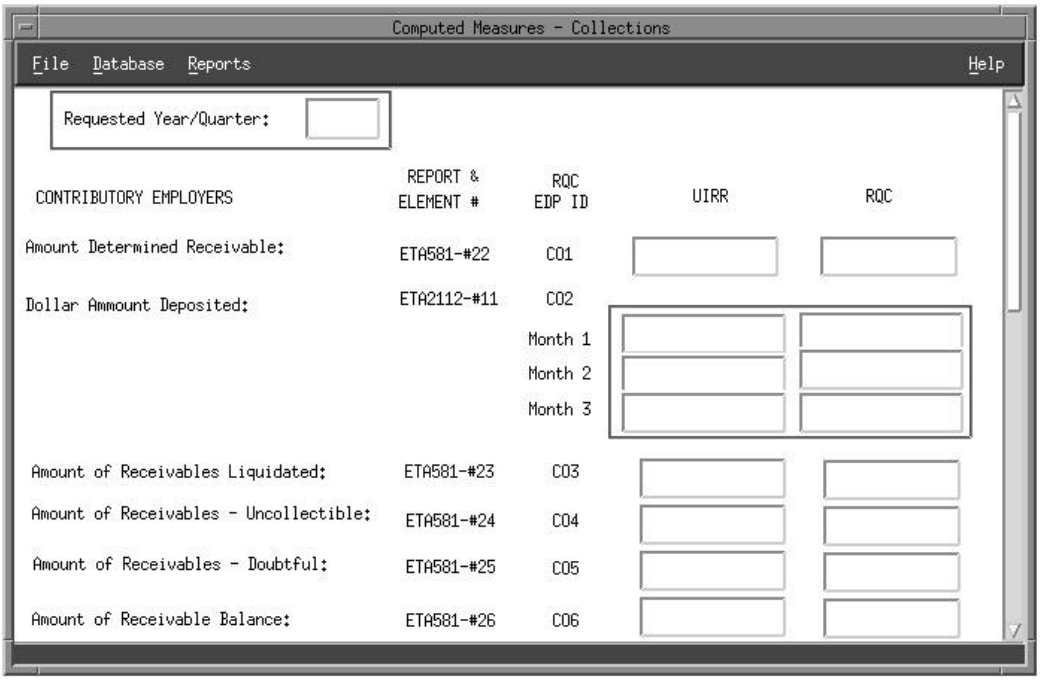
To access the Collections function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Collections option. Shown below are these three menus.

Menu Selection



To display the `Collections` main window, shown below, choose the `Collections` option from the `Computed Measures Menu`.

Collections Main Window

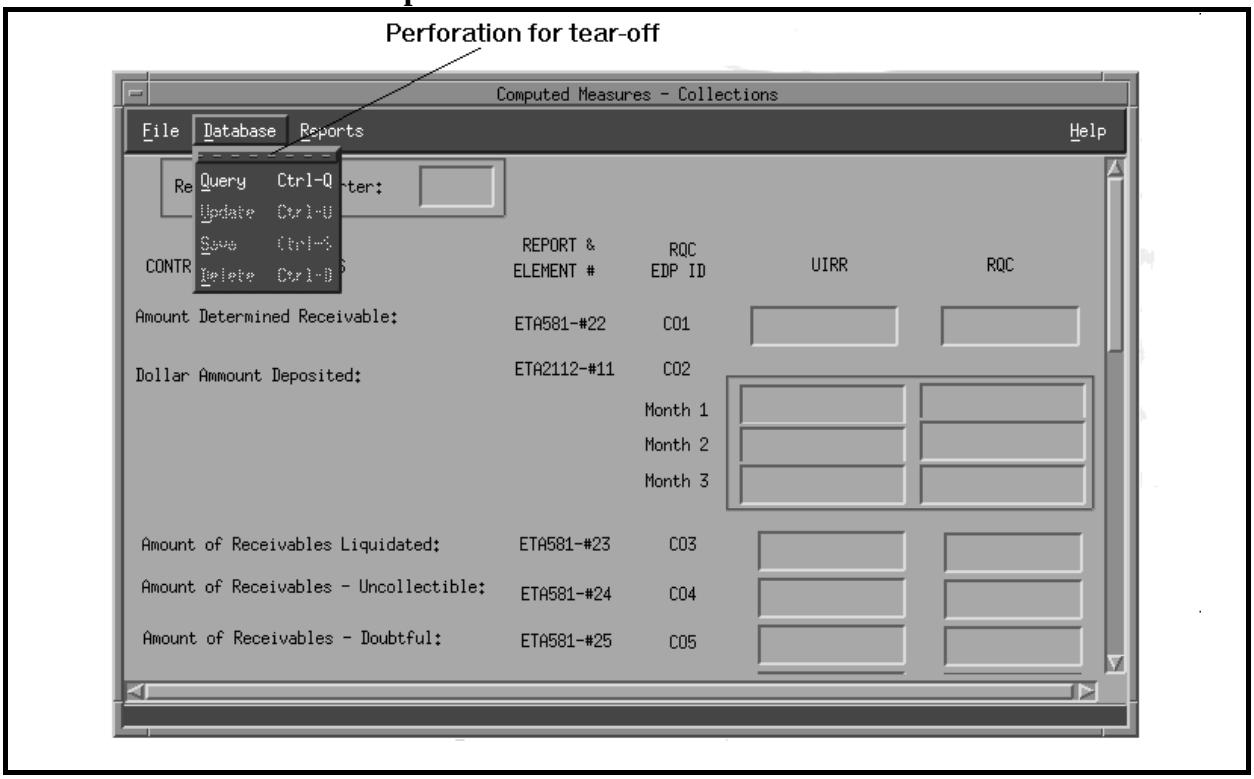


The main window has a menubar at the top with the following options: `File`, `Database`, `Reports`, and `Help`. Under each menubar option are the following options:

- ***`File`***. Consists of `Open`, `Save As`, `Print`, and `Exit`. The `Print` option is further subdivided into `System` and `Local`.
- ***`Database`***. Consists of `Query`, `Update`, `Save`, and `Delete`.
- ***`Reports`***. Consists of `Generate`.
- ***`Help`***. Consists of `Context-Sensitive Help`, `Overview`, `Keyboard`, and `Product Information`.

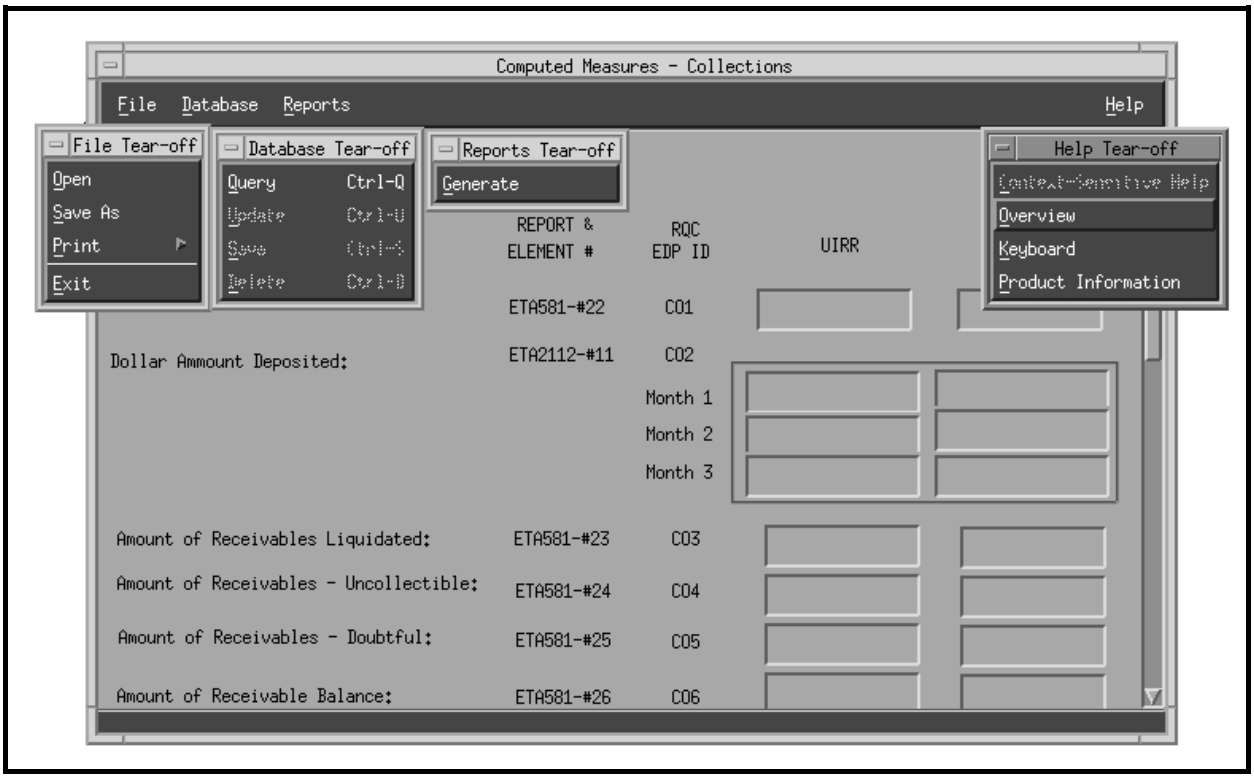
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation



Shown below is a screen of the tear-off menus for the Computed Measures menu bar.

Tear-off Menus



Accessing Menubar Using Keyboard

To access the menubar using the keyboard, simply press F10 on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press ENTER.

For example to access options from the `Database` menu on the menubar, you can also use one of the following methods:

- Under the `Database` option:
  - Type **q** or use arrow keys to move to the `Query` option and press ENTER to access `Query`.
  - Type **u** or use arrow keys to move to the `Update` option and press ENTER to access `Update`.
  - Type **s** or use arrow keys to move to the `Save` option and press ENTER to access `Save`.
  - Type **d** or use arrow keys to move to the `Delete` option and press ENTER to access `Delete`.

You can also access some options under the `Database` menu option with fewer keystrokes by using what are termed "hot keys". From the Collections main window:

- Press <Ctrl-q> to access `Query`.
- Press <Ctrl-u> to access `Update`.
- Press <Ctrl-s> to access `Save`.
- Press <Ctrl-d> to access `Delete`.

The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help

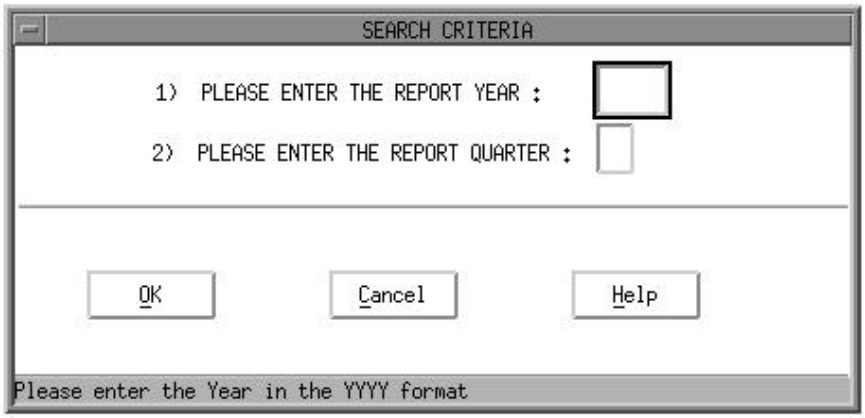
Data Entry Section

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Accessing Data Entry

To access the Data Entry section, go to the Collections main window. Click on `Database` in the menubar, then choose `Query`. The `Search Criteria` window appears, as shown below.

Search Criteria Window



A year and quarter must be entered which represents the "Report Year and Quarter" requested for updating.

Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal such as a Qume), then type over the required characters.
- If a single character of the data needs to be erased, press the arrow keys to move the cursor before the character to be erased, then press DEL (on a PC) or the backspace key (on an X-terminal) and reenter the required data.
- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press DEL (on a PC) or the backspace key (on an X-terminal).
- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press DEL (on a PC) or the backspace key (on an X-terminal).

Validating Data

The `Search Criteria` window displays the parameters year and quarter. Three pushbuttons appear at the bottom — **OK**, **Cancel**, and **Help**.

In the box to the right of "1) PLEASE ENTER THE REPORT YEAR:", type the year of the report you want to inquire about in a YYYY format.

Example: 1991

For the year to be valid, it must satisfy the following *validation criteria*. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year.
After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER:", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to **OK**.
Click on **OK** or press ENTER.

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the **OK** pushbutton. To return to the main window, choose **Cancel**. To display help messages related to the `Search Criteria` window, choose **Help**.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK**. The following validations will now be performed.

Validation 1

If the selected year is the current year, the program checks to ensure that you have access to the records.

Example: If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

```
IF selected quarter = 1
     earliest access date = "05/20/1995"
IF selected quarter = 2
     earliest access date = "08/20/1995"
IF selected quarter = 3
     earliest access date = "11/20/1995"
IF selected quarter = 4
     earliest access date = "02/20/1996"
```

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

Validation 2

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If

the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

Warning 1

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

Yes - Goes ahead with display.
No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the `Database` menu, you can now choose the **Update** option if you want to update an TPS record, or the **Delete** option if you want to delete TPS data that was previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on `Help` in the menubar and choose `Context-Sensitive`.

The validation edit checks for updating the record are given below.

Warning

If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.
No - Returns control back to the field for the user to change value.

Relational Edits

There are certain relationships between fields. The software will perform the following validations:

Validation 1. If CO1 > CO6, then a warning message indicating that CO1 is greater than CO6 is displayed. If the values are not acceptable then the cursor is set on the field CO1.

Validation 2. If CO3 > CO6, then a warning message indicating that CO3 is greater than CO6 is displayed. If the values are not acceptable then the cursor is set on the field CO3.

Validation 3. If CO7 > CO12 , then a warning message indicating that CO7 is greater than CO12 is displayed. If the values are not acceptable then the cursor is set on the field CO7.

Validation 4. If CO9 > CO12, then an warning message indicating that CO9 is greater than CO12 is displayed. If the values are not acceptable then the cursor is set on the field CO9.

Saving Data

When you want to save the updated record to the database by selecting **Save** from the `Database` option, the validations are performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under `File`, `Database`, or `Reports` options can be chosen. If you choose any of these options, you'll see the warning message, `"Latest changes have not been saved, do you wish to save before continuing?"` You have three options:

Yes	-	Saves the record and continues with the menu item process chosen.
No	-	Does not save the record but continues with the menu item process chosen.
Cancel	-	Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the `Database` option, you'll see the warning message, `"Are you sure you wish to delete?"` You have two options:

Yes	-	Deletes the TPS record and clears the TPS column displayed.
No	-	Returns you to the main window.

Report Generation Section

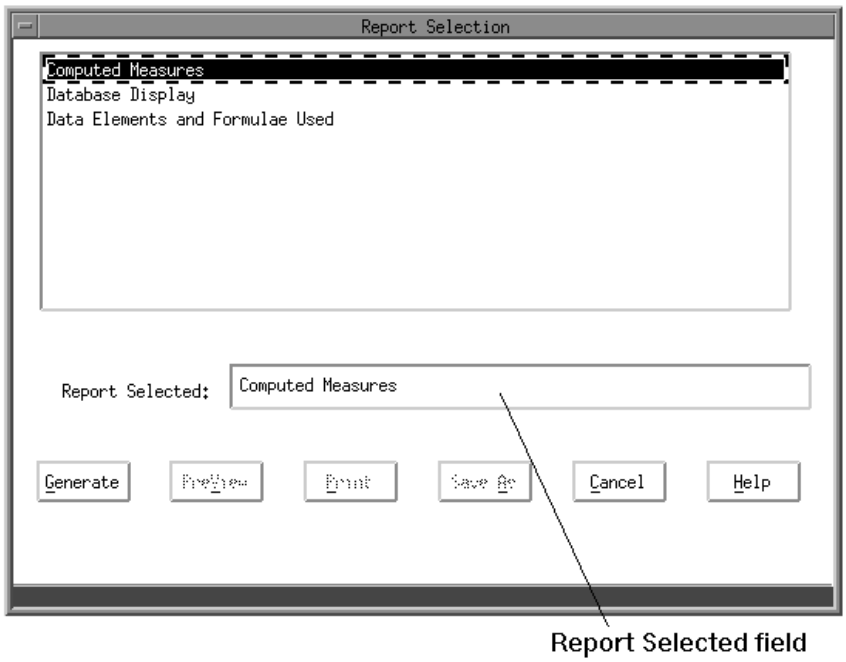
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

Accessing Report Generation

To display the Report Selection window, go to the Collections main window. Click on `Reports` in the menubar, then choose **Generate**. The `Report Selection` window, shown below, is displayed.

Report Selection Window



The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — **Generate**, **PreView**, **Print**, and **Save As** — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

Generating Reports

The first time you access the `Report Selection` window, the default report — which is the Computed Measures report — is highlighted both at the top and in the `Report Selected` field. The **Generate** pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press ENTER and that report name will appear in the `Report Selected` field.

When you choose either a Computed Measures report or a Database Display report and then press **Generate**, a `Search Criteria` window prompts you for `Year` and `Quarter` of the report. If, however, you choose a Data Elements and Formulae Used report, no `Search Criteria` window is displayed. The validations on parameters on this `Search Criteria` window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.

When you type valid year and quarter parameters, the `Search Criteria` window closes and you see the following message on the status line,

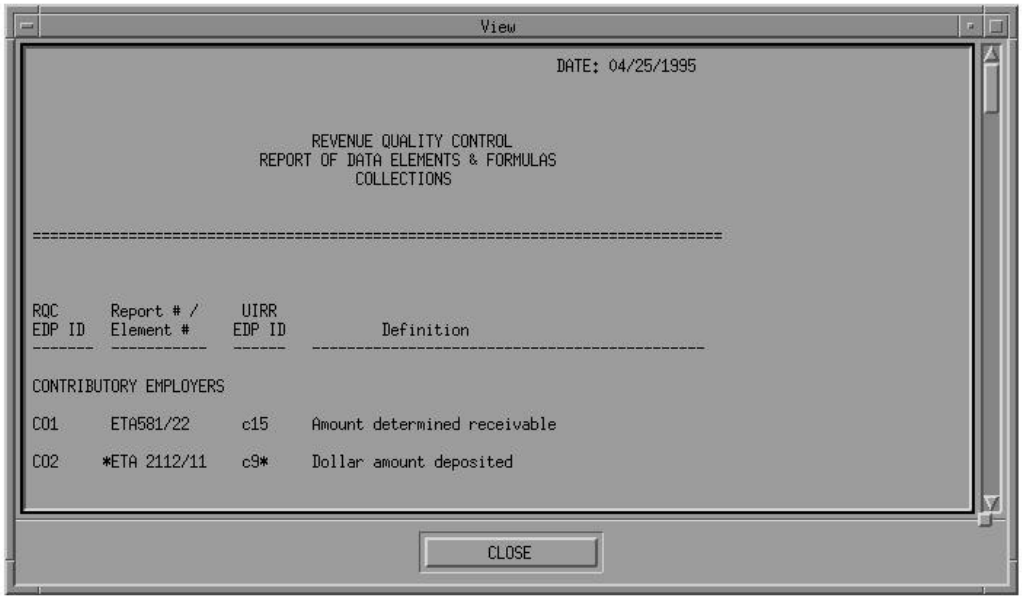
```
Report Generation in Progress ... Please Wait
```

When the report generation is completed, the pushbuttons **PreView**, **Print**, and **Save As** become active.

Viewing Reports

To view a report on the screen, choose **PreView**. Shown below is an example of a `PreView` window.

PreView Window



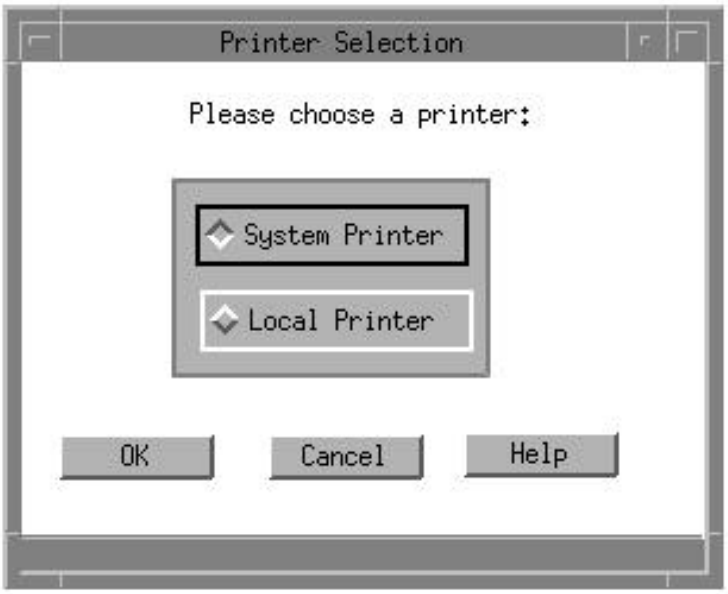
You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown keys. To close the window and return to the

Report Selection window, either click on the **Close** button with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

Printing Reports

To print a report, choose **Print**. The `Printer Selection` window, shown below, appears.

Printer Selection Window



You have two options: `System Printer` and `Local Printer`. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: **OK**, **Cancel**, and **Help**. When

you choose **OK**, the printer selection window closes, the report is printed on the printer selected, and you're returned to the `Reports Selection` window. Choose **Cancel** to return to the `Reports Selection` window. Choose **Help** to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

Saving Reports

A *session* begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you logon, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose **Save As**. The `Save As` window, shown below, appears.

Save As Window

At the bottom of the `Save As` window three pushbuttons appear: **OK**, **Cancel** and **Help**. If you choose **OK**, the default report name and path are used and the file is saved in the default directory

which is your home directory. However, if you choose to change the default path or/and the filename, type over the default path/filename with a path/filename of your choice. Click on the **OK** pushbutton to accept the input and activate the "Save" process. Using the keyboard, you can use the **Tab** key to move to the pushbutton **OK** and then use the arrow keys to traverse the pushbuttons. To activate a pushbutton option, press the space bar when the focus is on the pushbutton desired. Any files saved will be checked for valid path and filenames. Shown below are the default filenames generated by the system for each report selection.

Report Selection	Default filename
Computed Measures	cm_c_m_Year_Qtr.login_id Ex: cm_c_m_1990_1.timmsr
Database Display	cm_c_d_Year_Qtr.login_id Ex: cm_c_d_1990_1.timmsr
Data Elements and Formulae Used	cm_c_list.timmsr Ex: cm_c_list.timmsr

When you choose **Cancel** on the `Reports Selection` window, the `Reports Selection` window closes and you're returned to the main window.

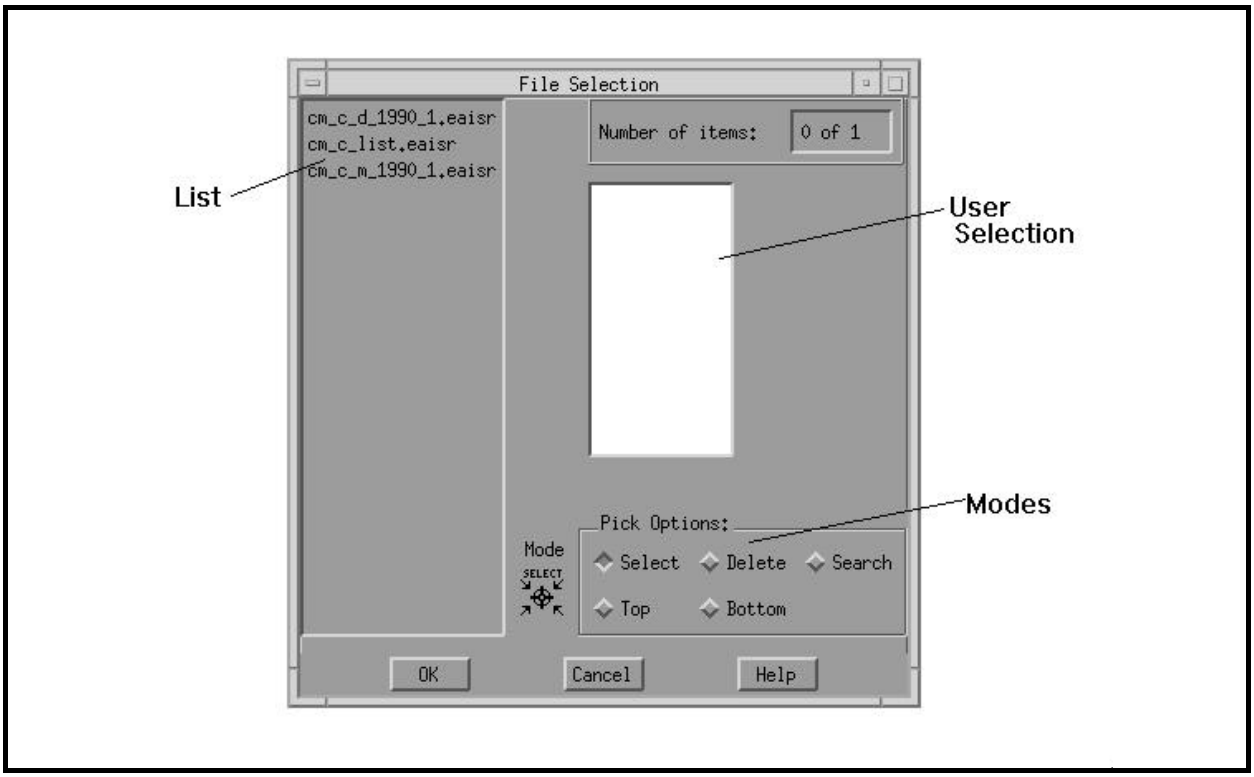
When you choose **Help** on the `Reports Selection` window, help messages related to the `Reports Selection` window appear.

File Options Available After Generating Reports

If you generate reports during a session, *after* the reports are generated you have the following options available from the `File` option in the menubar: **Open**, **Save As**, and **Print**.

Open. If you choose **Open**, a `File Selection` window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message `"No Report files present for Retrieval"` appears.

File Selection Window



Three pushbuttons are displayed at the bottom of the `File Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To display the file, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `File Selection` window.

Save As. To save selected reports generated during the session, choose **Save As**. A `Save As` window appears. If, however, no reports were generated during this session, a message `"No Report files present to Save"` is displayed.

Three pushbuttons are shown at the bottom of the `Save As` window: **OK**, **Cancel**, and **Help**. When you choose **OK**, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Save As` window.

Print. To print selected reports generated during the session, choose **Print**. A submenu with the options `System` and `Local` appears. Choose either option to display the `File Selection` window. However, if no reports were generated during this session, you'll see the following message in the message window.

```
No Report files present for Print.
```

Three pushbuttons are displayed at the bottom of the `Printer Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Printer Selection` window.

A *radio button* is a button grouped with other buttons that allows

you to choose only one option from the group at a time, like selecting your favorite radio station. In the `File Selection` window, which appears in this section, the following radio buttons are available as auxiliary options.

Select Allows you to choose files from the box marked `List`.

Delete Allows you to delete any or all files from the `User Selection` box. To delete a file from the `User Select` box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the **Delete** radio button.

Search Generates a `Search Dialog` box from which you can enter a string (the full path name for the desired file) to be found within the box marked `List`.

Top Display the top of the list in the box marked `List`.

Bottom Displays the bottom of the list in the box marked `List`.

Samples of Reports

The Report Generation application produces three types of reports:

- Report of Computed Measures
- Database Display Report
- Report of Data Elements and Formulae Used

Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.

Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
COLLECTIONS

State: CA
Requested Year/Qtr: 1990/1

==========

CONTRIBUTORY EMPLOYERS:

A: Percent of Amount due paid timely:		98.8%
B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due	99.6%	
C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful		79.7%
D: Accounts receivable at the end of the report		56.8%

REIMBURSING EMPLOYERS:

A: Percent of Amount due paid timely:		98.8%
B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due	99.6%	
C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful		79.7%
D: Accounts receivable at the end of the report	56.8%	

Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

DATE: 04/19/1995

TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
COLLECTIONS

STATE: CA
REQUESTED YEAR/QTR: 1993/4

==========

Contributory Employers:

A:	Percent of Amounts due paid timely:	UNKNOWN
B:	Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due	UNKNOWN
C:	Receivables declared uncollectible and/or doubtful - The percent of tax due declared uncollectible and/or doubtful	UNKNOWN
D:	Accounts receivable at the end of the report period as a percent of tax due	UNKNOWN

Reimbursing Employers:

E:	Percent of Amounts due paid timely:	99.13%
F:	Turnover Ratio - The ratio of receivables Liquidated and declared uncollectible and/or doubtful to tax due	1.89%
G:	Receivables declared uncollectible and/or doubtful - The percent of tax due declared uncollectible and/or doubtful	0.04%
H:	Accounts receivable at the end of the report period as a percent of tax due	0.44%

Note: UNKNOWN indicates missing quarter of data needed for computation.
Refer to the Report of MISSING DATA.

DATE: 04/19/1995

TAX PERFORMANCE SYSTEM
REPORT OF MISSING DATA
COLLECTIONS

STATE: CA
REQUESTED YEAR/QTR: 1993/4
==========

Measure A, B, C, D could not be computed
- Missing data in CO1 for the following year/quarter(s):
1993/2
1993/3

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.

Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

DATE: 04/19/1995

TAX PERFORMANCE SYSTEM
DATABASE DISPLAY
COLLECTIONS

STATE: CA
REQUESTED YEAR/QTR: 1993/4

==========

DEFINITION	REPORT & ELEMENT #	TPS EDP ID	UIRR	TPS
CONTRIBUTORY EMPLOYERS				
Amount of Determined Receivable	ETA581-#22	CO1	27,281,260	1,920,120
Dollar Deposited:	ETA2112-#11	CO2	90,628,284.60	906,283,323.33
			307,301,646.03	307,301,646.03
			28,817,082.56	28,817,082.56
Receivables Liquidated:	ETA581-#23	CO3	23,650,093	23,650,093
Receivables - Uncollectible:	ETA581-#24	CO4	28,236	28,236
Receivables -Doubtful:	ETA581-#25	CO5	9,876,587	9,876,587
Receivable Balance:	ETA581-#26	CO6	190,012,024	190,012,024

Database Display Report *(Continued)*

REIMBURSING EMPLOYERS

Determined Receivable:	ETA581-#34	CO7	3,143,862	3,140
Dollar Deposited:	ETA2112-#18	CO8	4,841,275.16	4,841,275.16
			6,016,603.60	6,016,603.60
			5,812,558.42	5,812,558.42
	ETA2112-#19	CO8	2,172,054.51	2,172,054.51
			4,206,052.85	4,206,052.85
			4,492,820.14	4,492,820.14
	ETA2112-#20	CO8	5,012,861.62	5,012,861.62
			7,226,748.53	7,226,748.53
			6,723,064.69	6,723,064.69
Receivables Liquidated	ETA581-#35	CO9	1,686,080	1,686,080
Receivables - Uncollectible:	ETA581-#36	CO10	800	800
Receivables -Doubtful:	ETA581-#37	CO11	122,223	0
Receivable Balance:	ETA581-#38	CO12	2,805,765	0

Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

Run Date: 03/11/1995

TAX PERFORMANCE SYSTEM
REPORT OF DATA ELEMENTS & FORMULAE
COLLECTIONS

TPS EDP ID	Report # / Element #	UIRR EDP ID	Definition
CONTRIBUTORY EMPLOYERS			
CO1	ETA581/22	c15	Amount determined receivable
CO2	*ETA 2112/11	c9*	Dollar Amount Deposited
CO3	ETA 581/23	c16	Amount of Receivables Liquidated
CO4	ETA 581/24	c17	Amount of Receivables Uncollectible
CO5	ETA 581/25	c64	Amount of Receivables Doubtful
CO6	ETA 581/26	c18	Amount of Receivables Balance
REIMBURSING EMPLOYERS			
CO7	ETA 581/34	c20	Amount determined receivable
CO8	*ETA 2112/	c27,c29, c31 18,19,20	Dollar Amount Deposited
CO9	ETA 581/35	c21	Amount of Receivables Liquidated
CO10	ETA 581/36	c22	Amount of Receivables Uncollectible
CO11	ETA 581/37	c65	Amount of Receivables Doubtful
CO12	ETA 581/38	c23	Amount of Receivable Balance

Report of Data Elements and Formulae Used (*Continued*)

Contributory Employers

A: Percentage of Amounts due paid timely

$$\left[1 - \left(\frac{\text{(Sum of CO1) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3),Q(x-2),Q(x-1), Qx}}\right)\right] * 100$$

B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due

$$\frac{\text{(Sum of CO3+CO4+CO5) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful

$$\frac{\text{(Sum of CO4+CO5) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

D: Accounts receivable at the end of the report period as a percent of tax due

$$\frac{\text{CO6 for Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

Note: Qx represents the requested year/quarter.

Report of Data Elements and Formulae Used (*Continued*)

Reimbursing Employers

E: Percentage of Amounts due paid timely

$$\left[1 - \left(\frac{\text{(Sum of CO7) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO7+CO8-CO9) for Q(x-3),Q(x-2),Q(x-1), Qx}}\right)\right] * 100$$

F: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due

$$\frac{\text{(Sum of CO9+CO10+CO11) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO7+CO8-CO9) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

G: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful

$$\frac{\text{(Sum of CO10+CO11) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO7+CO8-CO9) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

H: Accounts receivable at the end of the report period as a percent of tax due

$$\frac{\text{CO12 for Qx}}{\text{(Sum of CO7+CO8-CO9) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

Note: Qx represents the requested year/quarter.

Help Section

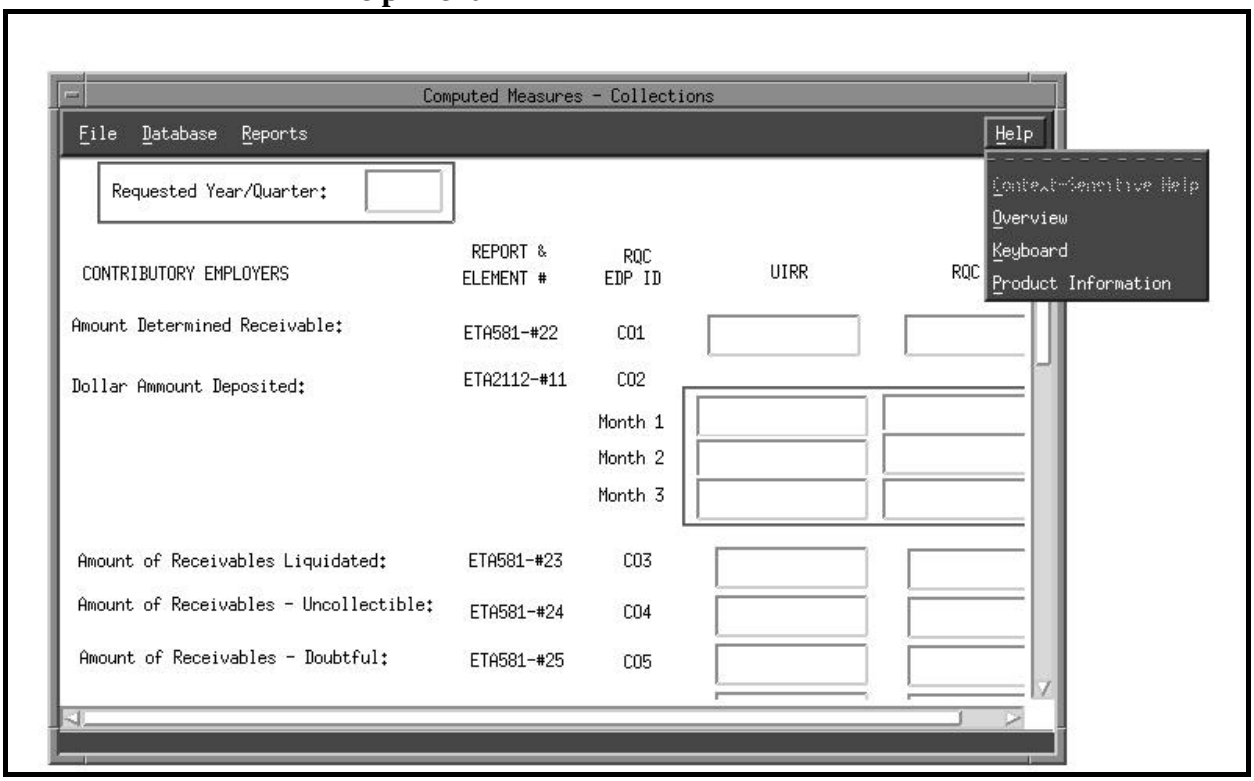
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help

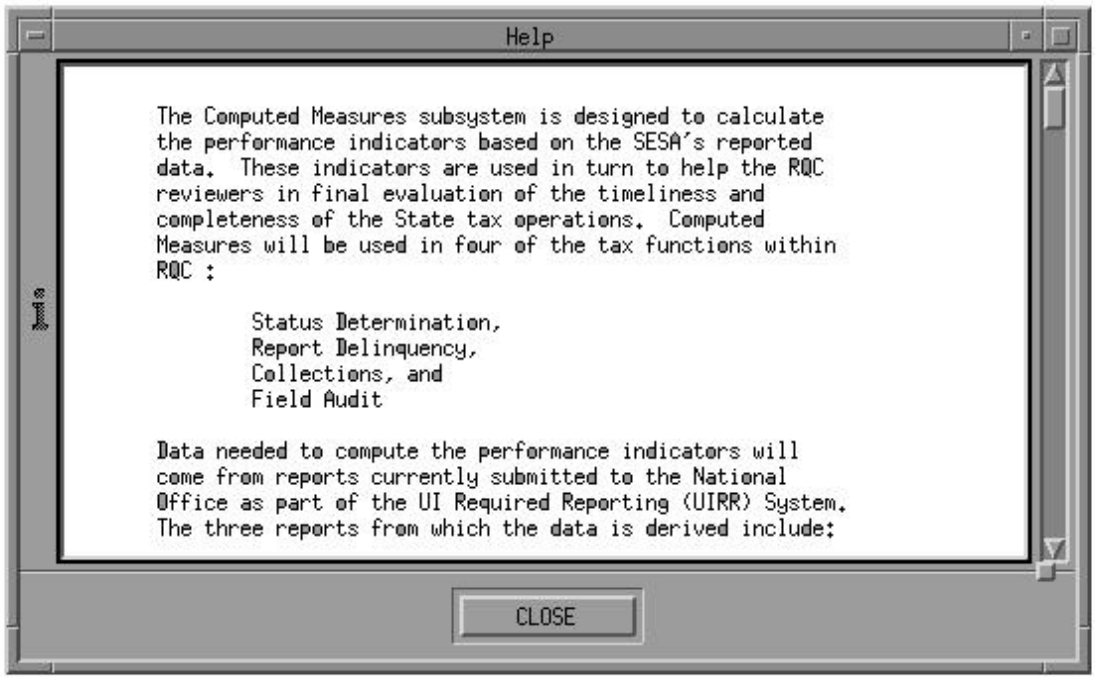
To access the Help option, go to the `Collections` main window and choose the `Help` option. The Help menu, shown below, appears.

Help Menu



Shown below is the screen display of a typical help window.

Help Window



If you choose the `Context-Sensitive Help` option from the `Help` menu, a `Help` window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (*Note*: The `Context-Sensitive Help` option is active only if you choose **Update** from the `Database` menu to clarify edits/definitions for entry fields.)

To exit the `Context-Sensitive Help` option and return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see an overview of the subsystem, choose `Overview`. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the `Keyboard` option from the `Help` menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with product release information for this part of the application, choose the `Product Information` option from the `Help` menu. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

FIELD AUDIT

Defining Field Audit Measures

The main purpose of the *field audit* function is to assist employers to comply with State laws and regulations and to determine if wages and taxes have been reported in accordance with law and agency policies.

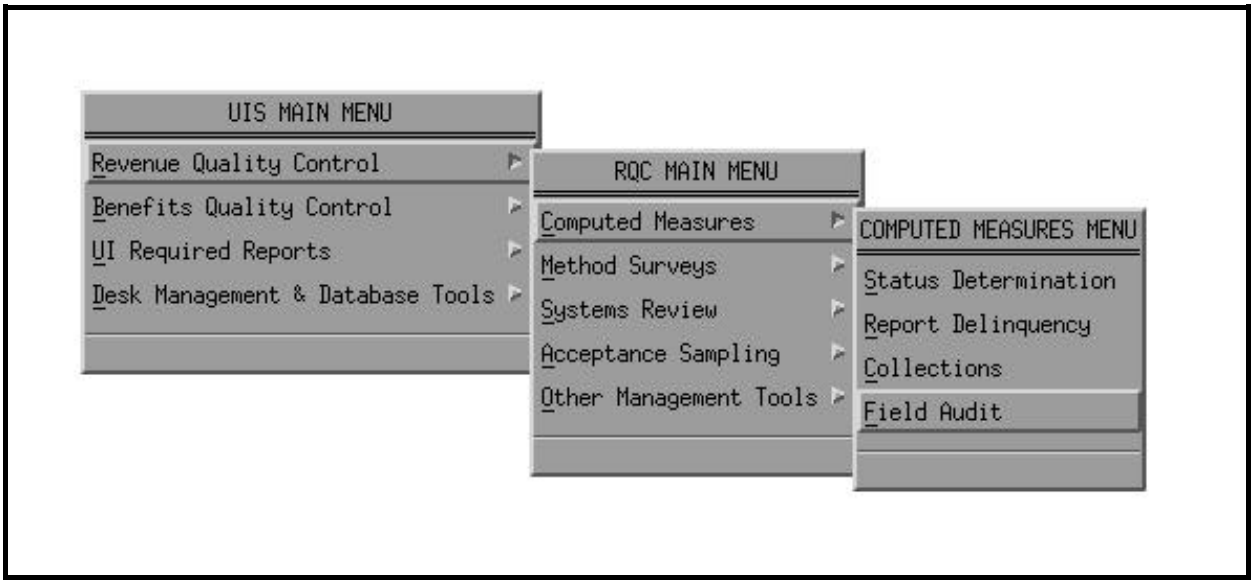
To ascertain the level of employer compliance and provide for analysis of improper employer reporting and audit penetration by both number and size, there are three computed measures:

- Percentage of change in total wages resulting from audit.
- Percentage of contributory employers who are audited.
- Percentage of total wages audited.

Accessing Field Audit

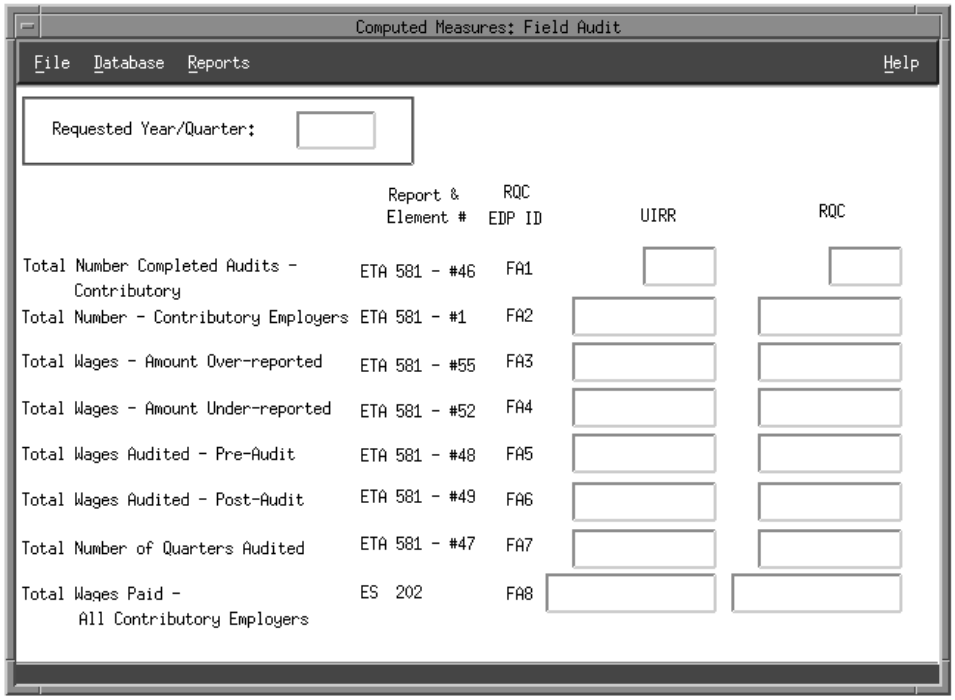
To access the Field Audit function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Field Audit option. Shown on the next page are these three menus.

Menu Selection



To display the `Field Audit` main window, shown on the next page, choose the `Field Audit` option from the `Computed Measures Menu`.

Field Audit Main Window

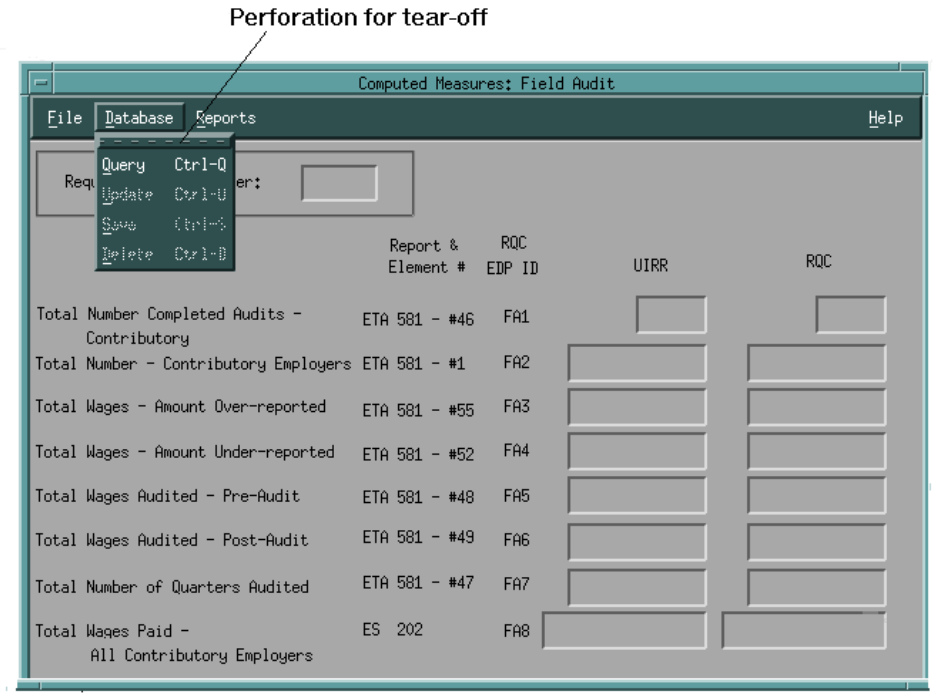


The main window has a menubar at the top with the following options: `File`, `Database`, `Reports`, and `Help`. Under each menubar option are the following options:

- ***`File`***. Consists of `Open`, `Save As`, `Print`, and `Exit`. The `Print` option is further subdivided into `System` and `Local`.
- ***`Database`***. Consists of `Query`, `Update`, `Save`, and `Delete`.
- ***`Reports`***. Consists of `Generate`.
- ***`Help`***. Consists of `Context-Sensitive Help`, `Overview`, `Keyboard`, and `Product Information`.

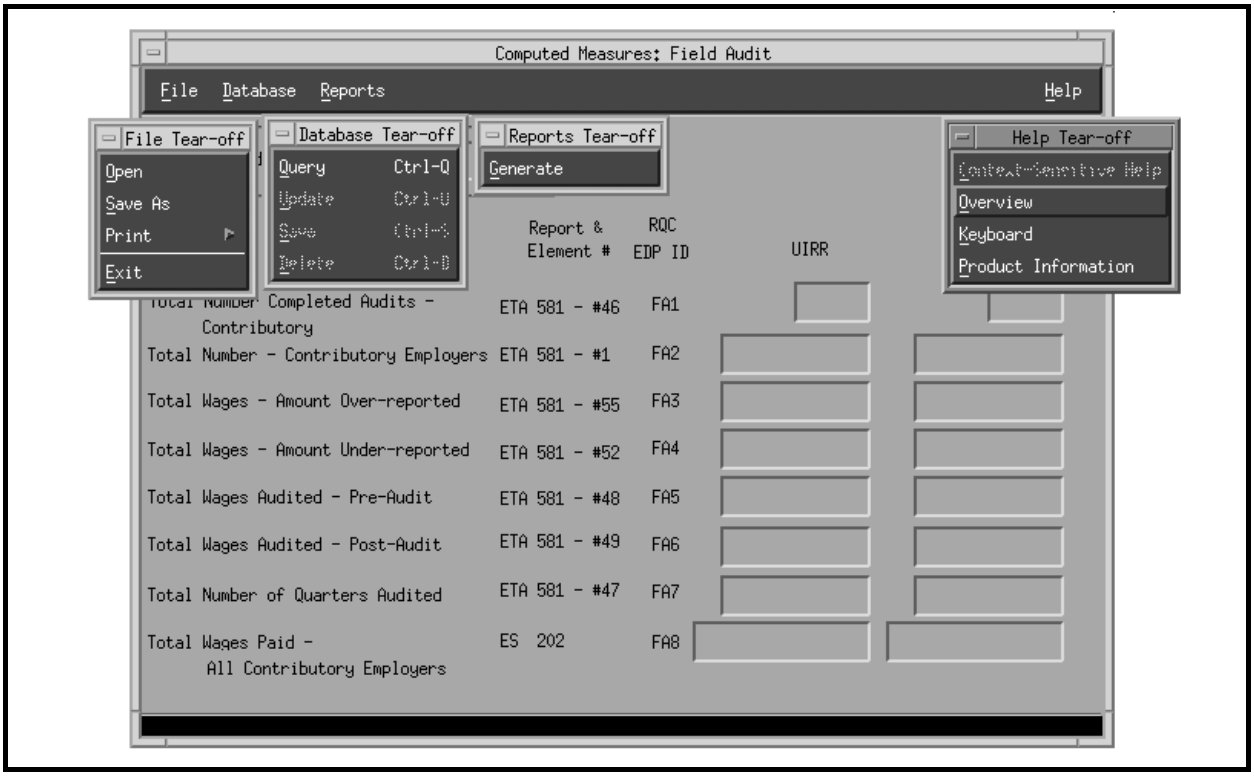
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation



Shown below is a screen of the tear-off menus for the Computed Measures menu bar.

Tear-off Menus



Accessing Menubar Using Keyboard

To access the menubar using the keyboard, simply press F10 on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press ENTER.

For example to access options from the `Database` menu on the menubar, you can also use one of the following methods:

- Under the `Database` option:
  - Type **q** or use arrow keys to move to the `Query` option and press ENTER to access `Query`.
  - Type **u** or use arrow keys to move to the `Update` option and press ENTER to access `Update`.
  - Type **s** or use arrow keys to move to the `Save` option and press ENTER to access `Save`.
  - Type **d** or use arrow keys to move to the `Delete` option and press ENTER to access `Delete`.

You can also access some options under the `Database` menu option with fewer keystrokes by using what are termed as "hot keys". From the Field Audit main window:

- Press <Ctrl-q> to access `Query`.
- Press <Ctrl-u> to access `Update`.
- Press <Ctrl-s> to access `Save`.
- Press <Ctrl-d> to access `Delete`.

The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help

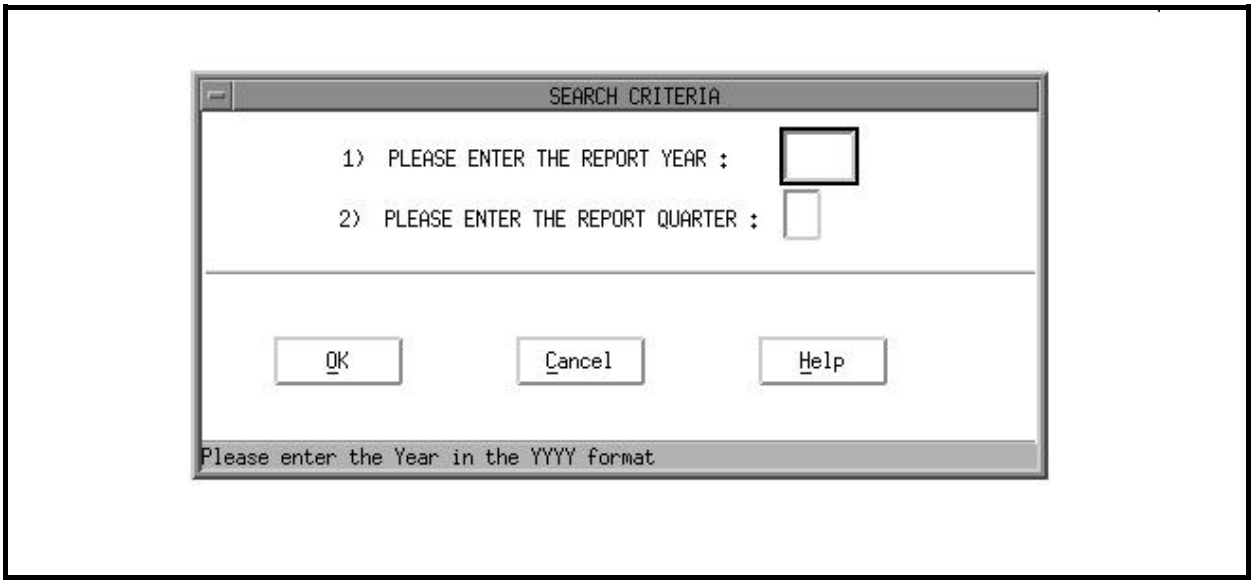
Data Entry Section

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Accessing Data Entry

To access the Data Entry section, go to the Field Audit main window. Click on `Database` in the menubar, then choose `Query`. The `Search Criteria` window appears, as shown below.

Search Criteria Window



A year and quarter must be entered which represents the "Report Year and Quarter" requested for updating.

Editing Data

Data entered on screens can be edited by following one of four different methods:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal, such as a Qume), then type over the required characters.
- If a single character of the data needs to be erased, press the arrow key to move the cursor before the character that you want to erase. Then press DEL (on a PC) or the backspace key (on an X-terminal), then reenter the required data.
- If the contents of the entire field need to be erased and if the field is already highlighted by default simply press DEL (on a PC) or the backspace key (on an X-terminal).
- If the contents of the entire field need to be erased and if the field is not already highlighted, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press DEL (on a PC) or the backspace key (on an X-terminal).

Validating Data

The `Search Criteria` window displays the parameters year and quarter. Three pushbuttons appear at the bottom — **OK**, **Cancel**, and **Help**.

In the box to the right of `"1) PLEASE ENTER THE REPORT YEAR:",` type the year of the report you want to inquire about in a YYYY format.

Example: 1991

For the year to be valid, it must satisfy the following *validation criteria*. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year.
After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER:", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to **OK**.

Click on **OK** or press

.

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the **OK** pushbutton. To return to the main window, choose **Cancel**. To display help messages related to the Search Criteria window, choose **Help**.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK**. The following validations will now be performed.

Validation 1

If the selected year is the current year, the program checks to ensure that you have access to the records.

Example: If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

IF selected quarter = 1
earliest access date = "05/20/1995"
IF selected quarter = 2
earliest access date = "08/20/1995"
IF selected quarter = 3
earliest access date = "11/20/1995"
IF selected quarter = 4
earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

Validation 2

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

Warning 1

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for

the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

Yes - Goes ahead with display.
No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the `Database` menu, you can now choose the **Update** option if you want to update an TPS record, or the **Delete** option if you want to delete TPS data that was previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on `Help` in the menubar and choose `Context-Sensitive`.

The validation edit checks for updating the record are given below:

Warning

If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.
No - Returns control back to the field for the user to change value.

Relational Edits

There are certain relationships between fields. The software will perform the following validations:

Validation 1. If FA1 >= FA2, then an error message indicating that FA1 cannot be greater than or equal to FA2 is displayed and the cursor is set on the field FA1.

Validation 2. If FA3 >= FA8, then an error message indicating that FA3 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA3.

Validation 3. If FA4 >= FA8, then an error message indicating that FA4 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA4.

Validation 4. If FA5 >= FA8, then an error message indicating that FA5 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA5.

Validation 5. If FA6 >= FA8, then an error message indicating that FA6 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA6.

Validation 6. If FA1 >= FA7, then an error message indicating that FA1 cannot be greater than or equal to FA7 is displayed and the cursor is set on the field FA1.

Validation 7. If FA5 - FA3 + FA4 <> FA6, then an error message indicating that FA5 - FA3 + FA4 must be equal to FA6 is displayed and the cursor is set on the field FA3.

Saving Data

When you want to save the updated record to the database by selecting **Save** from the `Database` option, the validations are performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under `File`, `Database`, or `Reports` options can be chosen. If you choose any of these options, you'll see the warning message, `"Latest changes have not been saved, do you wish to save before continuing?"` You have three options:

Yes	-	Saves the record and continues with the menu item process chosen.
No	-	Does not save the record but continues with the menu item process chosen.
Cancel	-	Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the `Database` option, you'll see the warning message, `"Are you sure you wish to delete?"` You have two options:

Yes	-	Deletes the TPS record and clears the TPS column displayed.
No	-	Returns you to the main window.

Report Generation Section

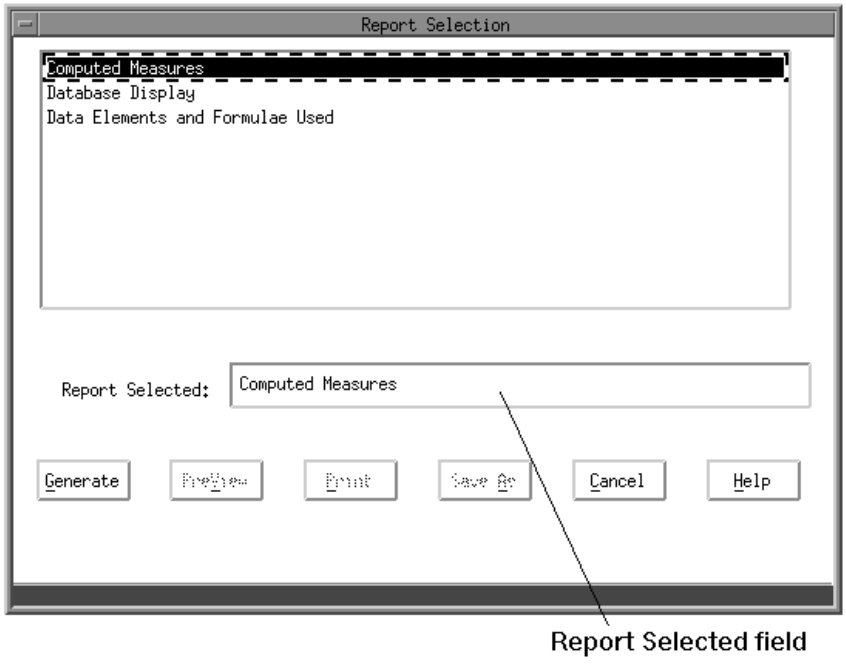
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

Accessing Report Generation

To display the Report Selection window, go to the Field Audit main window. Click on `Reports` in the menubar, then choose **Generate**. The `Report Selection` window, shown below, is displayed.

Report Selection Window



The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — **Generate**, **PreView**, **Print**, and **Save As** — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

Generating Reports

The first time you access the `Report Selection` window, the default report — which is the Computed Measures report — is highlighted both at the top and in the `Report Selected` field. The **Generate** pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press ENTER and that report name will appear in the `Report Selected` field.

When you choose either a Computed Measures report or a Database Display report and then press **Generate**, a `Search Criteria` window prompts you for `Year` and `Quarter` of the report. If, however, you choose a Data Elements and Formulae Used report, no `Search Criteria` window is displayed. The validations on parameters on this `Search Criteria` window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.

When you type valid year and quarter parameters, the `Search Criteria` window closes and you see the following message on the status line,

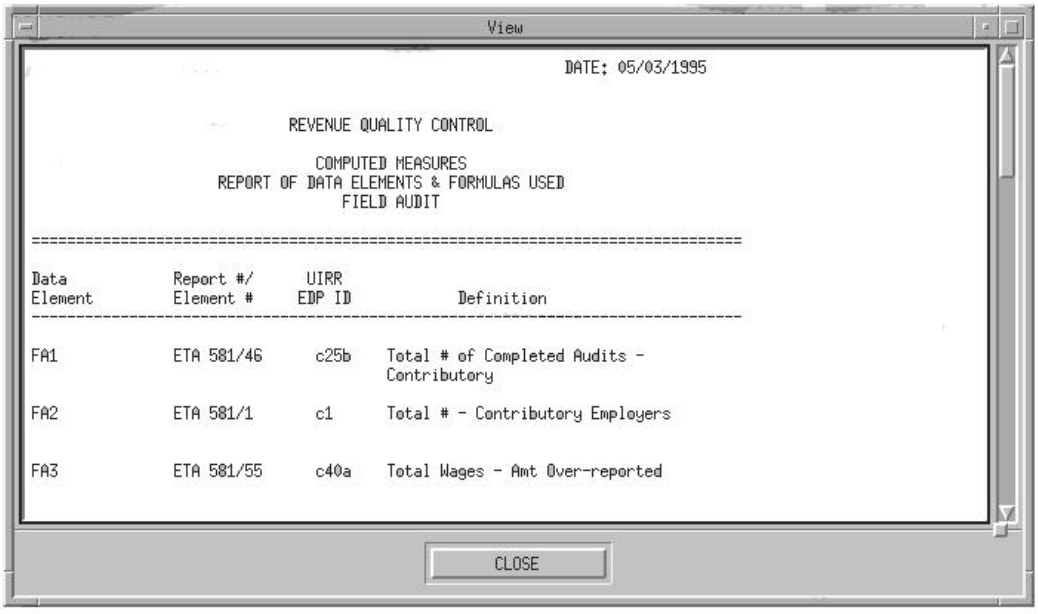
```
Report Generation in Progress ... Please Wait
```

When the report generation is completed, the pushbuttons **PreView**, **Print**, and **Save As** become active.

Viewing Reports

To view a report on the screen, choose **PreView**. Shown below is an example of a `PreView` window.

PreView Window



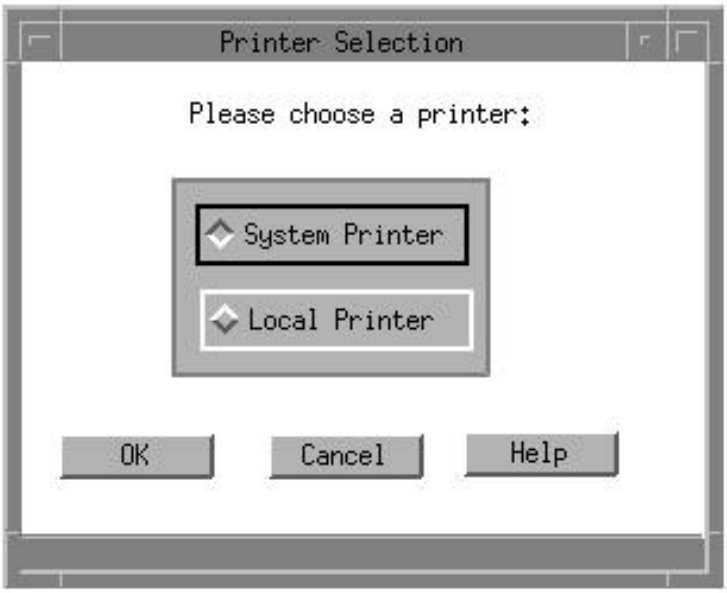
You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown buttons. To close the window and return to the Report Selection window, either click on the **Close** button with the mouse, or press

TAB three times to highlight the **Close** button, then press the space bar.

Printing Reports

To print a report, choose **Print**. The `Printer Selection` window, shown below, appears.

Printer Selection Window



You have two options: `System Printer` and `Local Printer`. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: **OK**, **Cancel**, and **Help**. When you choose **OK**, the printer selection window closes, the

report is printed on the printer selected, and you're returned to the `Reports Selection` window. Choose **Cancel** to return to the `Reports Selection` window. Choose **Help** to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

Saving Reports

A *session* begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you login, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose **Save As**. The `Save As` window, shown below, appears.

Save As Window

At the bottom of the `Save As` window three pushbuttons appear: **OK**, **Cancel** and **Help**. If you choose **OK**, the default report name and path are used and the file is saved in the default directory which is your home directory. However, if you

choose to change the default path or/and the filename, type over the default path/filename of your choice. Click on the **OK** pushbutton to accept the input the activate the "Save" process. Using the

keyboard, you can press TAB to move to the pushbutton **OK**, then use the arrow keys to traverse the pushbuttons. To activate the pushbutton, press the space bar when the focus in on the pushbutton desired. Any files saved will be checked for valid path and filenames. Shown below are the default filenames generated by the system for each report selection.

Report Selection	Default filename
Computed Measures	cm_f_m_Year_Qtr.login_id Ex: cm_f_m_1990_1.timmsr
Database Display	cm_f_d_Year_Qtr.login_id Ex: cm_f_d_1990_1.timmsr
Data Elements and Formulae Used	cm_f_list.timmsr Ex: cm_f_list.timmsr

When you choose **Cancel** on the `Reports Selection` window, the `Reports Selection` window closes and you're returned to the main window.

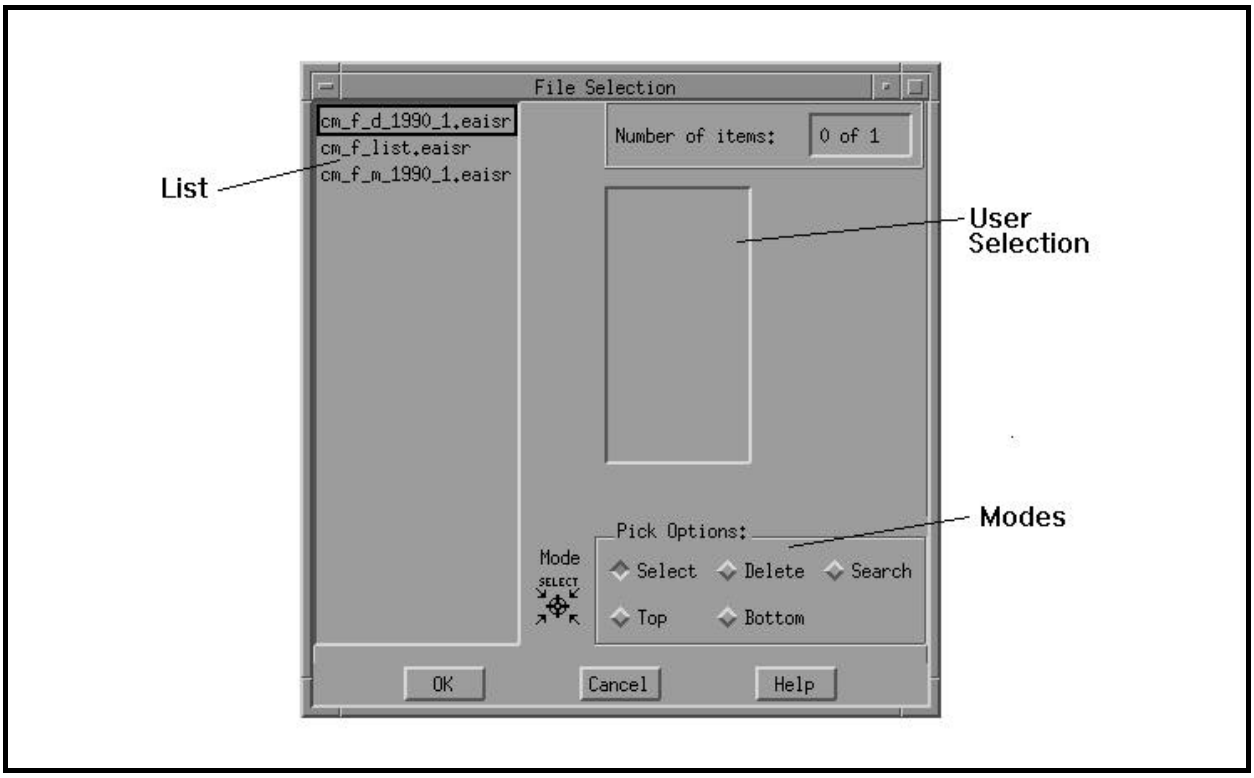
When you choose **Help** on the `Reports Selection` window, help messages related to the `Reports Selection` window appear.

File Options Available After Generating Reports

If you generate reports during a session, *after* the reports are generated you have the following options available from the `File` option in the menubar: **Open**, **Save As**, and **Print**.

Open. If you choose **Open**, a `File Selection` window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message `"No Report files present for Retrieval"` appears.

File Selection Window



Three pushbuttons are displayed at the bottom of the `File Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To display the file, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `File Selection` window.

Save As. To save selected reports generated during the session, choose **Save As**. A `Save As` window appears. If, however, no reports were generated during this session, a message `"No Report files present for Save"` is displayed.

Three pushbuttons are shown at the bottom of the `Save As` window: **OK**, **Cancel**, and **Help**. When you choose **OK**, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose **Print**. A submenu with the options `System` and `Local` appears. Choose either option to display the `File Selection` window. However, if no reports were generated during this session, you'll see the following message in the message window.

```
No Report files present for Print.
```

Three pushbuttons are displayed at the bottom of the `Printer Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Printer Selection` window.

A *radio button* is a button grouped with other buttons that allows

you to choose only one option from the group at a time, like selecting your favorite radio station. In the `File Selection` window, which appears in this section, the following radio buttons are available as auxiliary options.

Select Allows you to choose files from the box marked `List`.

Delete Allows you to delete any or all files from the `User Selection` box. To delete a file from the `User Selection` box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the **Delete** radio button.

Search Generates a `Search Dialog` box from which you can enter a string (the full path name for the desired file) to be found within the box marked `List`.

Top Display the top of the list in the box marked `List`.

Bottom Displays the bottom of the list in the box marked `List`.

Samples of Reports

The Report Generation application produces three types of reports:

- Report of Computed Measures
- Database Display Report
- Report of Data Elements and Formulae Used

Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.

Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
FIELD AUDIT

State: CA
Requested Year/Qtr: 1990/1
==========

A: Percentage of Change in total wages resulting from audit 1.4%

B: Percentage of contributory employers which are audited 1.8%

C: Percentage of total wages audited 1.5%

Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
FIELD AUDIT

State: CA
Requested Year/Qtr: 1990/2

==========

A: Percentage of Change in total wages resulting from audit ..... UNKNOWN

B: Percentage of contributory employers which are audited 1.8%

C: Percentage of total wages audited ..... UNKNOWN

Note: UNKNOWN indicates missing quarter of data needed for computation.
Refer to the REPORT OF MISSING DATA.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF MISSING DATA
FIELD AUDIT

State: CA
Requested Year/Qtr: 1990/2

==========

A: Measure could not be computed.
- Missing data in FA5 for following year/quarter(s):

1991/4
1992/1
1992/2

C: Measure could not be computed.
- Missing data in FA6 for following year/quarter(s):

1991/4
1992/1
1992/2

- Missing data in FA8 for following year/quarter(s):

1990/3
1990/4
1991/1
1991/2

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.

Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
DATABASE DISPLAY
FIELD AUDIT

State : CA
Requested Year/Qtr : 1990/1

Definition	Report/ Element #	TPS EDP ID	UIRR	TPS
Total # of Completed Audits Contributory	ETA 581/46	FA1	3,641	3,641
Total # of Contributory Employers	ETA 581/1	FA2	563,007	563,007
Total Wages - Amt Over-reported	ETA 581/55	FA3	562,040,000	562,045,000
Total Wages - Amt Under-reported	ETA 581/52	FA4	668,664,000	668,664,000
Total Wages Audited - Pre-Audit	ETA 581/48	FA5		55,444,230
Total Wages Audited - Post-Audit	ETA 581/49	FA6		45,456,200
Total # of Quarters Audits	ETA 581/47	FA7	16,039	16,039
Total Wages Paid - All Contributory Employers	ES 202	FA8	810,411,028	810,411,028

Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES
REPORT OF DATA ELEMENTS AND FORMULAE
FIELD AUDIT

TPS EDP ID	Report #/ Element #	UIRR EDP ID	Definition
FA1	ETA 581/46	c25b	Total # of Completed Audit - Contributory
FA2	ETA 581/1	c1	Total # - Contributory Employers
FA3	ETA 581/55	c40a	Total Wages - Amt over-reported
FA4	ETA 581/52	c37a	Total Wages - Amt Under-reported
FA5	ETA 581/48	c66	Total Wages Audited - Pre-Audit
FA6	ETA 581/49	c67	Total Wages Audited - Post-Audit
FA7	ETA 581/47	c26a	Total # of Quarters Audited
FA8	ES 202 c5		Total Wages Paid - All Contributory Employers

Report of Data Elements and Formulae Used (*Continued*)

A: Percent of Change in Total Wages Resulting from Audit

$$\frac{\text{(Sum of FA3+FA4) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of FA5) for Q(x-3), Q(x-2), Q(x-1), Qx}} * 100$$

B: Percent of Contributory Employers Audited

$$\frac{\text{(Sum of FA1) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{FA2 for Q(x-5)}} * 100$$

C: Annualized Percent of Total Wages Audited

$$\frac{\text{[(Sum of FA6) for Q(x-3), Q(x-2), Q(x-1), Qx * (Sum of FA1) for Q(x-3), Q(x-2), Q(x-1), Qx]}}{\text{[(Sum of FA7) for Q(x-3), Q(x-2), Q(x-1), Qx * (Sum of FA8) for Q(x-7), Q(x-6), Q(x-5), Q(x-4)]}} * 4 * 100$$

Note: Qx represents the requested year/quarter

Help Section

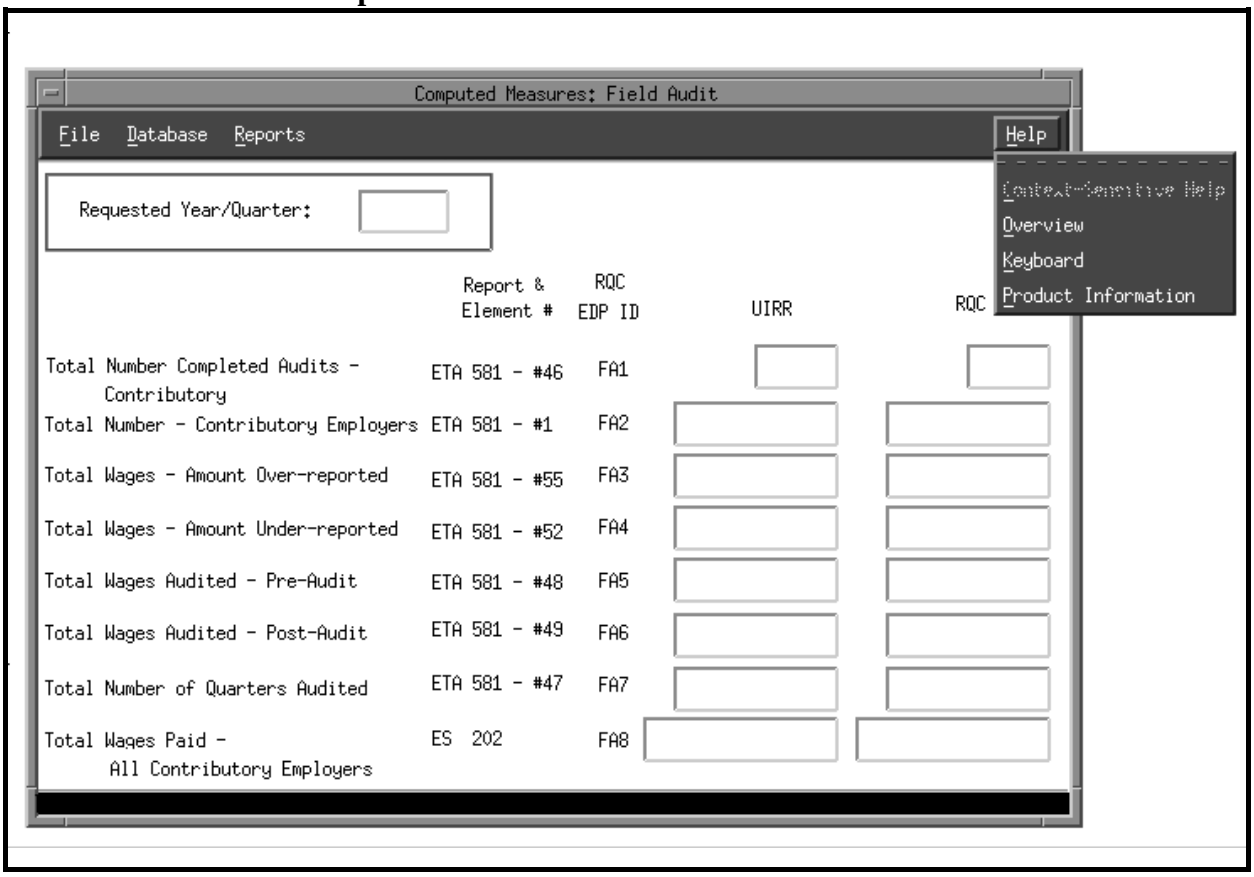
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help

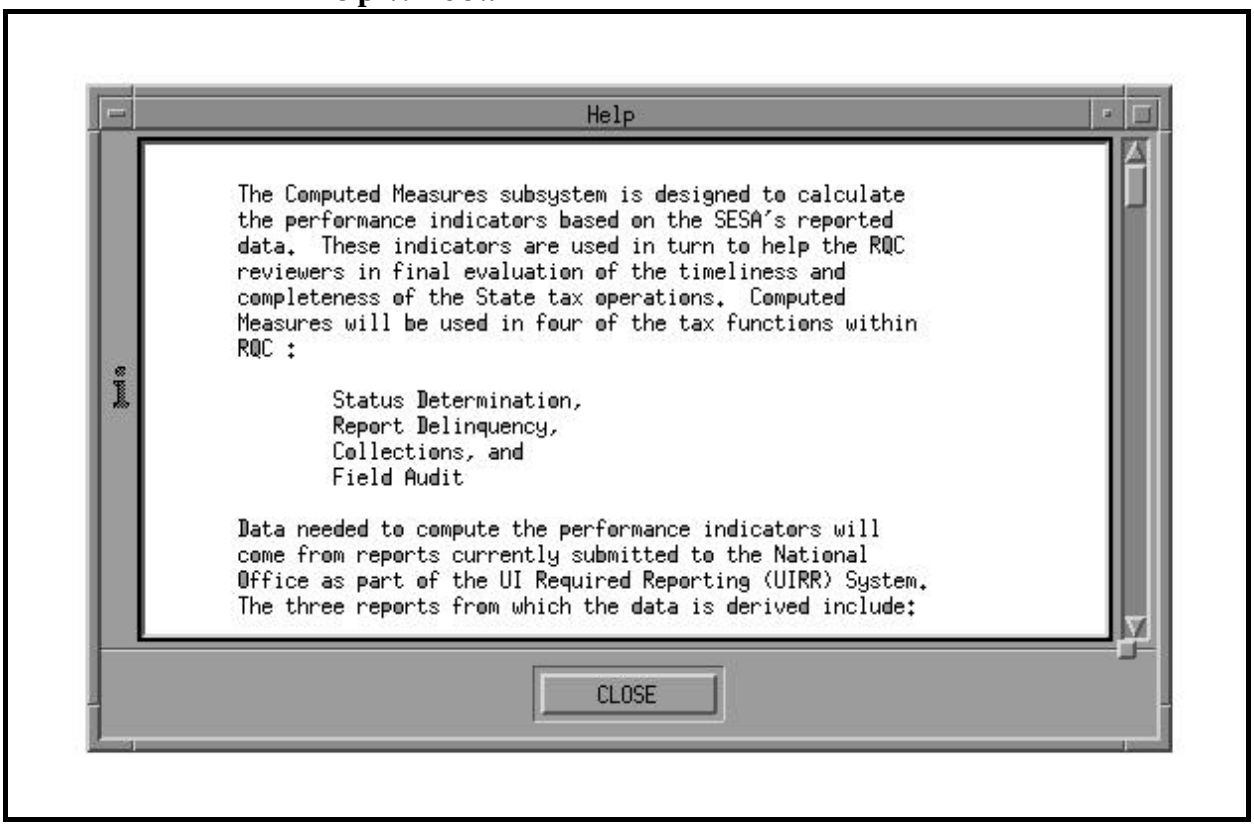
To access the Help option, go to the `Field Audit` main window and choose the `Help` option. The Help menu, shown below, appears.

Help Menu



Shown below is the screen display of a typical help window.

Help Window



If you choose the `Context-Sensitive Help` option from the `Help` menu, a `Help` window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (*Note*: The `Context-Sensitive Help` option is active only if you choose **Update** from the `Database` menu to clarify edits/definitions for entry fields.)

To exit the `Context-Sensitive Help` option and return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see an overview of the subsystem, choose `Overview`. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the `Keyboard` option from the `Help` menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

To see a help window with product release information for this part of the application, choose the `Product Information` option from the `Help` menu. Choose **Close** to return to the main window. To return to the main window, either click on **Close** with the mouse, or press TAB three times to highlight the **Close** button, then press the space bar.

METHODS SURVEY

METHODS SURVEY INTRODUCTION

Defining Methods Surveys

Methods surveys are used to gather data on the tools, procedures, and best practices used among States for facilitating employer identification/registration, collecting delinquent reports, auditing, and managing accounts receivable.

Purpose of Methods Surveys

The information gathered will be processed and shared among States to help them improve their tax procedures. It will also be analyzed along with results of Computed Measures to determine methods used by high performance States.

Surveys will be conducted on the methods used for the following tax functions:

a. Status Determination
- Identification and registration of employers
- Differentiation of employees from independent contractors
- Accommodation of the employee leasing industry by SESA laws

b. Report Delinquency
- Resolution of report delinquencies
- Promotion of reporting and payment compliance

c. Collections
- Management of accounts receivable
- Collection procedures

d. Field Audit
- Audit unit structure
- Auditor responsibilities
- Methods to select employers for audit
- Computerized Audits

Overview

The Methods Survey subsystem is a set of four modules which use a suite of sophisticated menu-driven software to input, update, and retrieve data on methods and tools used by States in the tax functions of Status Determination, Report Delinquency, Collections, and Field Audit.

Data entered is identical to responses for the set of survey questions in the TAX PERFORMANCE SYSTEM Operations Handbook. The software provides data entry screens whose formats are similar to the questions in the Handbook.

Since the amount of survey information to be recorded for each tax function is large, the data entry task is logically subdivided into multiple screens. Data entered on each sub-screen is voluminous. To prevent data entered from being lost in case of a modem drop or system fault, it is recommended that each screen be saved to the database before moving to the next one. The software provides two types of "Save" functions: one saves data without executing any edits, and the other checks the validity of the data on the current screen before saving information to the database. This option is provided so that an entire survey need not be entered all at once but can be input over time.

Since the survey question types for all the four tax functions are similar in nature, this guide covers general operations using examples of the types of questions possible in each tax function.

The software provides the means for retrieving a given year's Methods Survey data pertaining to a particular tax function. Output Reports consist of data extracted from the database for an input year. Other outputs include an error report which can be generated if the survey is incomplete or has missing/invalid information.

Normal Use of Methods Survey Software

This guide is organized according to the order the menu options appear on the screens. You will normally "Add" survey information when first using the software. Data can be added for all or part of the survey. If the entire survey can be entered at once, you need only validate and save the data.

Whenever all or part of a survey has already been entered and you want to continue to add or update previously entered information, the survey must first be retrieved (using **Query**) from the database. Once the proper year has been retrieved (queried), you must select **Update** to either complete the data entry or change previously entered information.

Each time you exit or move to another screen, you will be asked to save the information.

Once the data is entered for a particular survey year, database display reports can be generated for a single section, multiple sections, or all sections.

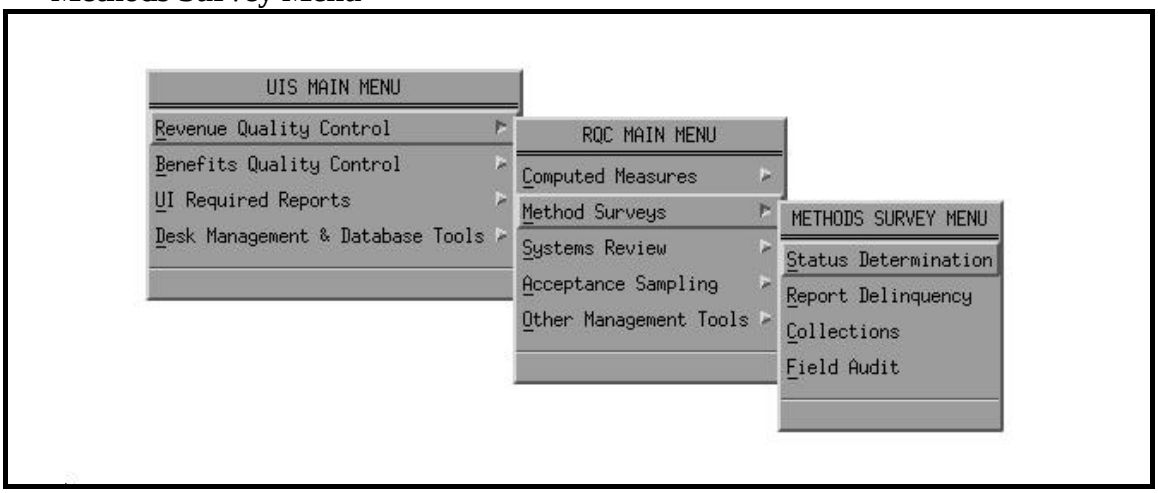
Accessing Methods Survey

To access the **Methods Survey** option, press F2 or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

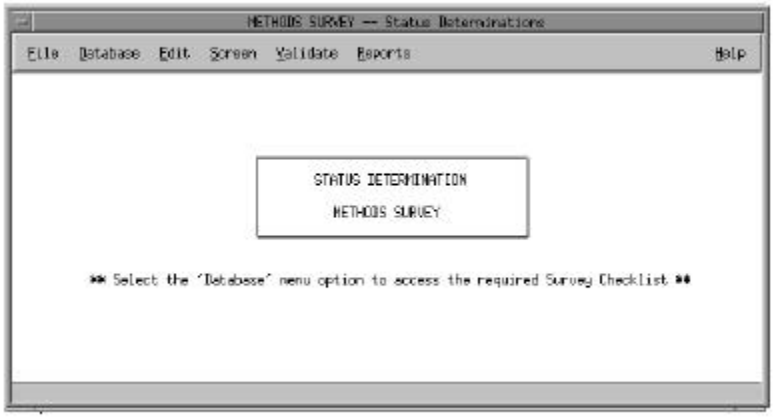
Choose (M)ethods Surveys from the TPS Main Menu to display the four tax functions. Any one of the four tax functions can be selected for execution.

Methods Survey Menu



If you choose the **Status Determination** tax function from the **Methods Survey** menu, you'll see the Status Determination main window, shown below. Similar main windows are displayed if one of the other tax functions is selected, namely, **Report Delinquency**, **Collections**, and **Field Audit**.

Status Determination Main Window



The main window displays the menubar with the following items: **File**, **Database**, **Edit**, **Screen**, **Validate**, **Reports**, and **Help**. The following options are under each menubar item:

File
Open
Save As
Print (System and Local) Go_To
Exit

Database
Add
Query
Update
Save
Delete

Edit
Clear_Text

Screen
Next_Screen
Previous_Screen

Validate
Check_for_Errors

Reports
Generate

Help
Context-Sensitive Help
Overview
Keyboard
Product Information

Widget Usage Help

The operations of this module will be explained in three distinct sections: **Data Entry**, **Reports Generation**, and **Help**.

Entering Data

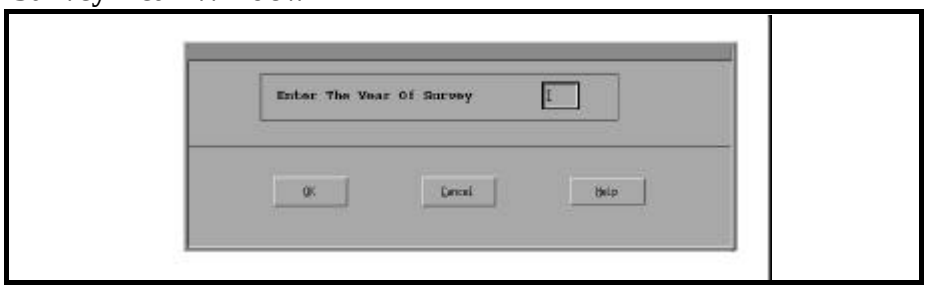
The data entry section will discuss in detail the functions of four of the six menu options provided on the menu bar of the main window. These options are:

Database	Screen
Edit	Validate

Adding Data

If you choose **Add** from the **Database** option, you'll see a screen, shown below, to enter the year of the survey you want to add.

Survey Year Window



Three pushbuttons appear at the bottom of the window: **OK**, **Cancel**, and **Help**.

Validating Survey Date

Validation edits on the parameter "Year" are that the year cannot be:

- Blank (NULL)
- greater than the current year (The year maintained by the computer is the current year.)
- less than 1996

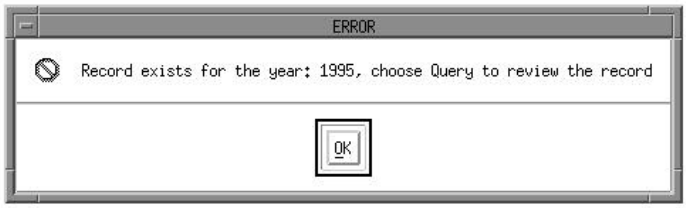
To have the program check for the validity of the query parameters, choose **OK**. If any of the above criteria are not met, an appropriate error message appears and the focus returns to the "Year" field.

If you enter a valid year, the control automatically goes to the **OK** pushbutton. To return to the main window, choose **Cancel**. To display help messages related to the query window, choose **Help**.

If the selected year is a valid current year, the program checks to ensure that you, the user, have access to the survey record requested.

When attempting to Add a new survey, if a survey year entered on the query screen already exists in the database, the following error message appears.

Error Window



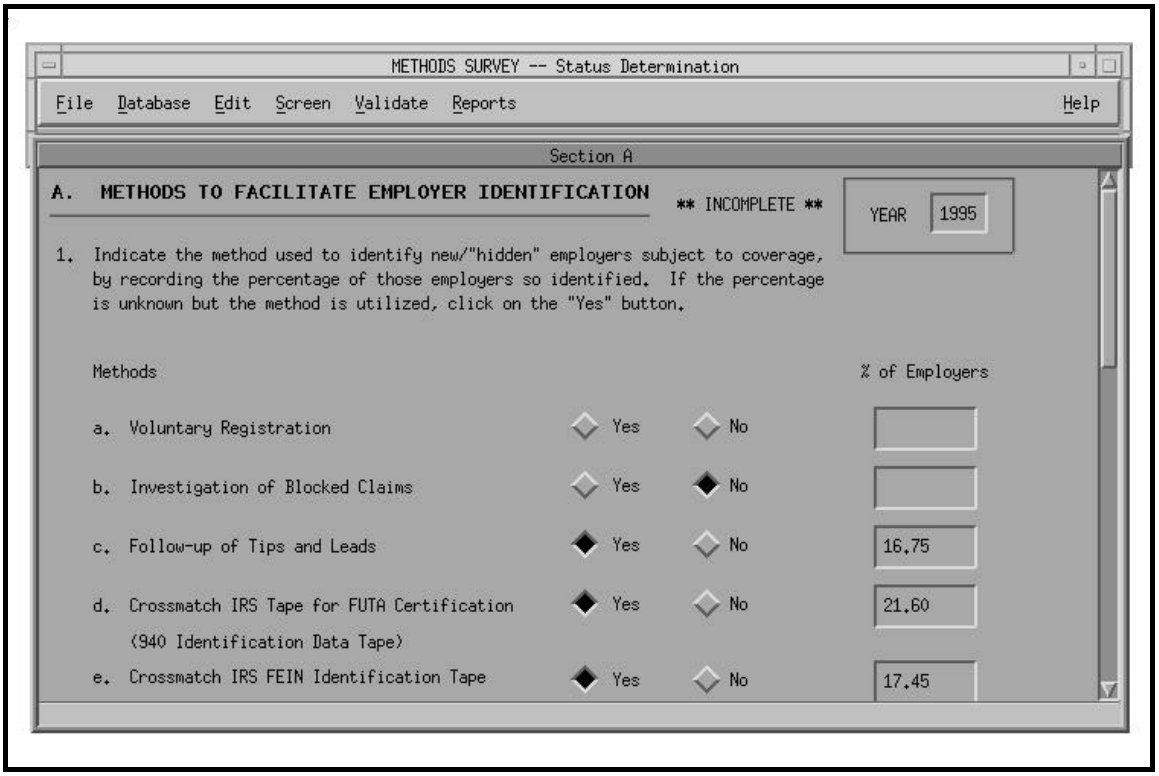
If you enter a valid year for the survey, the first survey screen (section A) is displayed for input. The menu item **Clear_text** under the **Edit** option is available for editing text fields; the menu items **Next**, **Previous**, and **Go To** under the **Screen** option are available for traversing through the survey.

If no record is found for the year requested, the following error message appears:

Error Window

If the record is found, the first survey screen is displayed. The following is an example of the first survey screen for the Status Determination tax function.

Status Determination - Section A Window



The method survey forms are long documents; so, for data entry, multiple screens are used. The screens are organized following the sections used in the Handbook for each function.

Status Determination has five screens.

1. Section A
2. Section B
3. Section C
4. Section D
5. Section E

Report Delinquency has five screens.

1. Part I, section A
2. Part I, section B
3. Part I, section C & D
4. Part I, section E & F
5. Part II, sections A & B

Collections has six screens.

1. Part I, section A & B.
2. Part II, section A
3. Part II, section B (1 - 7)
4. Part II, section B (8 - 10)
5. Part II, section B (11 - 18)
6. Part II, sections C through G

Field Audit has nine screens.

1. Demographics
2. Part I
3. Part II, section A
4. Part II, section B
5. Part II, section C
6. Part III
7. Part IV, section A
8. Part IV, section B
9. Part IV, section C

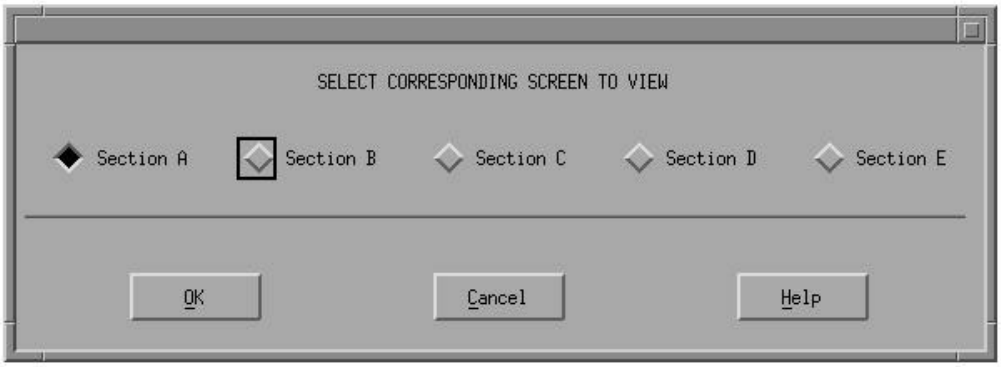
The menu items under the **Screen** option are:

Next To display the next logical screen of the survey.

Previous To display the previous logical screen of the survey.

Go To To choose the screen to be displayed. When you choose this option, you're prompted to choose the screen you want to be displayed. Shown below is an example of the Status Determination "Go To" window.

Go To Window



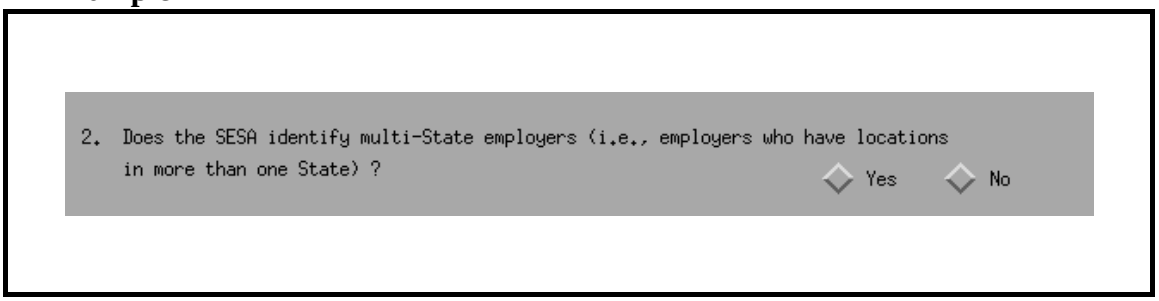
In the above example, the screen option for the screen currently displayed is section A for Status Determination; however, you can choose any other screen to be displayed. If you click on the radio button for the screen section you want and choose **OK**, this screen closes and the screen you requested appears.

Types of Survey Questions

Below are five examples of variations of different survey questions showing:

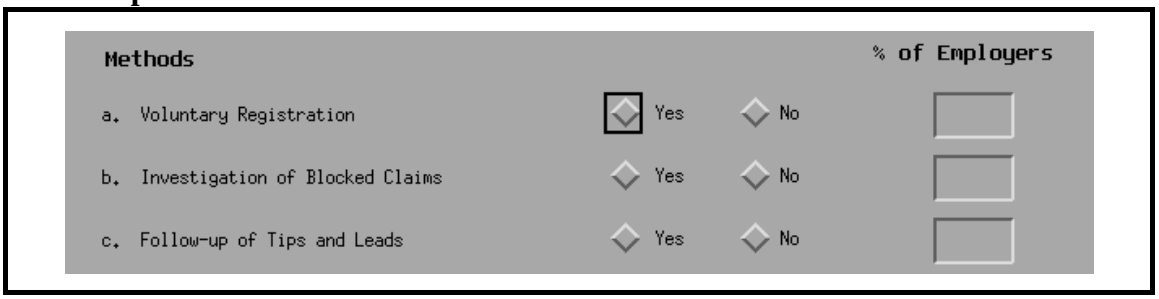
- data input scenarios you'll encounter across the different tax functions
- a description of how each scenario will function.

Example 1



The question in Example 1 requires you to choose **Yes** or **No**. Selecting either one automatically deselects the other. The question does not have any dependencies or related questions.

Example 2



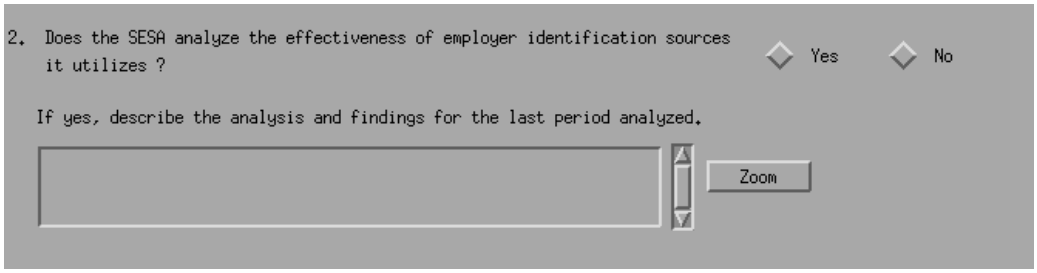
In Example 2, you have a combination of **Yes** or **No** buttons and a percentage of employers if the Yes button is chosen. If you choose **Yes**, you need to fill in the "% of Employers." If you choose **No**, the focus automatically moves to the next question (b).

Let's suppose you choose **Yes** and enter the % of employers. You then decide to change your answer to **No**. A warning message pops up indicating that:

> "Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed ?"

Options on the warning dialog are **Yes** and **No**. Choosing **Yes** deselects the **Yes** button and resets the "% of employers" field to blanks on the survey screen. Choosing **No** retains the values you previously entered.

Example 3



In Example 3 above, you have a combination of **Yes** and **No** buttons and a **Comments** area. If you choose **Yes**, the **Comments** area needs to be completed. If you choose **No**, the focus automatically moves to the next question on the survey.

Let's suppose you choose **Yes** and then enter text in the **Comments** area. You then decide to change your answer to No. A warning message pops up indicating that:

> "Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

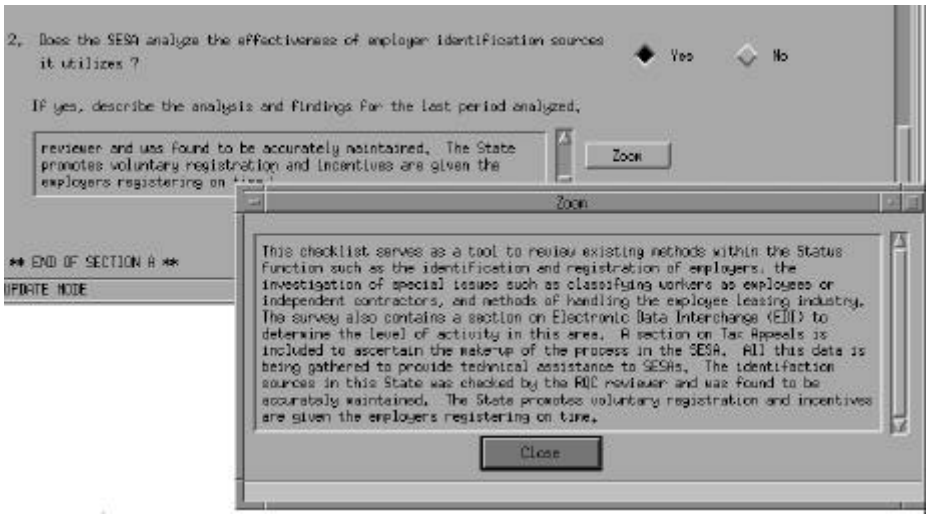
Options on the warning dialog are **Yes** and **No**. If you choose **Yes**, the text in the **Comments** field is deleted. If you choose **No**, the values you previously entered are retained.

The **Comments** area in the screen displayed above is a multi-line text field allowing you to enter 16 lines of text, 65 characters per line. Although only three lines of this multi-line text field are displayed on the screen, you can scroll along the side of the **Comments** area to view all 16 lines.

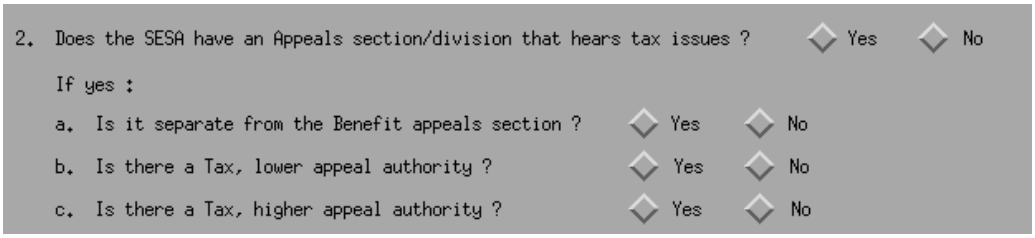
The **Comments** areas throughout the survey have a built-in word-wrap feature which transfers incomplete words at the end of a line automatically to the next line. To delete selected text in a **Comments** area, block the text with the mouse, then press DEL. To delete all the text in a **Comments** area, put the cursor in the **Comments** area, then select the **Edit - Clear_Text** option in the menu bar.

Also, if you choose the **Zoom** pushbutton on the right side of the text field, all 16 lines of text entered are shown. You cannot, however, modify text in the **Zoom** window. If no text is in the Comments area, selecting the **Zoom** button does not trigger any response.

Zoom Window



Example 4



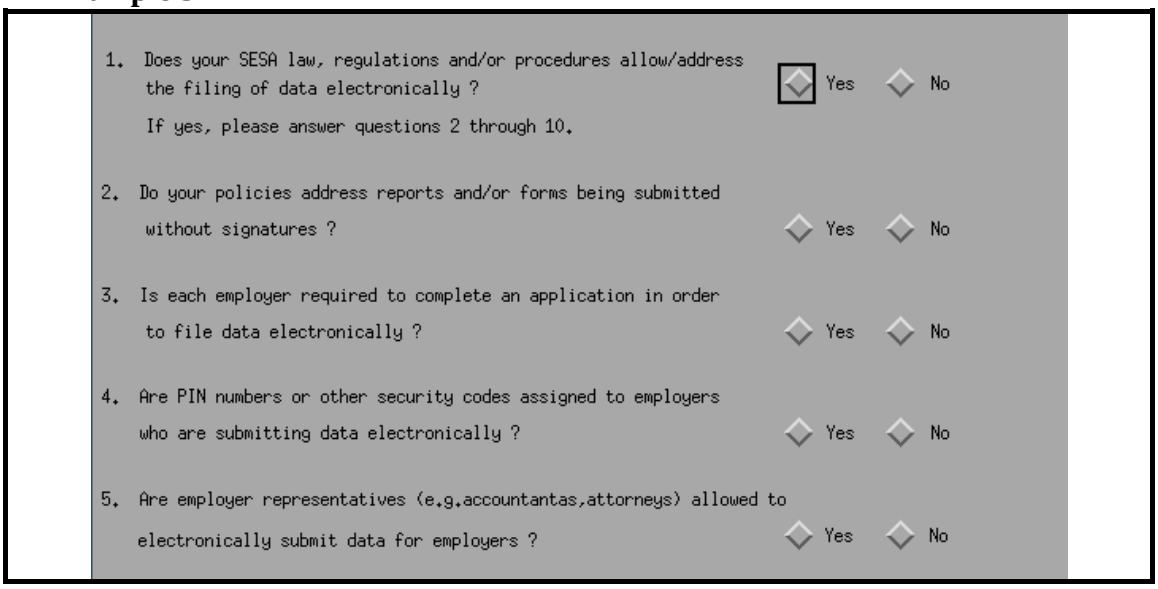
In Example 4 above, you have a combination of **Yes** or **No** buttons and a set of three sub-questions — (a), (b), (c) — related to the **Yes** response. If you choose **Yes**, the three sub-questions need to be answered. If you choose **No**, the program skips the sub-questions and the focus automatically moves to the next sequential question on the survey form.

Let's suppose you choose **Yes** and enter answers to sub-questions (a), (b), and (c). You then decide to change your answer to **No**. A warning message pop up indicating that:

> "Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

Options on the warning dialog are **Yes** and **No**. Choosing **Yes** deselects the **Yes** button of the main question and deletes answers to the related sub-questions and selects the **No** button of the main question on the survey screen. Choosing **No** retains the answers you previously entered.

Example 5



Consider question (1) in Example 5 above. You have a combination of **Yes** or **No** buttons and a set of questions (2) - (10) (only four are displayed). If you choose **Yes**, the following questions of the section (questions 2-10) need to be completed. If you choose **No**, the program skips the questions and moves to the next question, if there is one. Data entry fields for questions 2 through 10 on this screen are protected meaning they cannot be answered.

Let's suppose you choose the **Yes** button and enter the answers to questions (2) - (10). You then decide to change your answer to **No**. A warning message pops up indicating that:

> "Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

Options on the warning dialog are **Yes** and **No**. Selecting **Yes** deselects the **Yes** button of the main question and deletes answers to the related questions and selects the **No** button of the main question on the survey screen. Selecting **No** retains the answers you previously entered.

You need to complete all data entry fields in the survey unless choosing a particular answer for a question allows you to skip the data entry fields that follow it.

Example: Choosing **Yes** to a set of radio buttons may necessitate you to enter information in the related comment field. Choosing **No**, however, allows you to skip the comment field.

Querying Data

Choose the **Query** mode to find/retrieve a survey previously added to the database. The data fields shown on the screen are non-modifiable or display-only. You can traverse through the entire survey by using the menu items under the menu option **Screen**.

Although you can only view a record in the display-only (**Query**) mode, when in this mode you can choose options from the **Database** menu that enable you to perform the following actions, depending upon the next action you want to do:

Add Adds a new survey for a year not yet entered.

Query Retrieves a survey for any other year.

Update Revises the survey currently retrieved.

Delete Deletes the survey retrieved.

Updating Data

After finding the survey year you want using the **Query** option, you

can then choose **Update** to make changes. If you choose **Update**, the cursor moves to the first field in the screen displayed. Context-Sensitive help is available in this mode only. If you choose the **Help** option on the menubar and then choose **Context-Sensitive Help**, you'll see help messages relating to the field in focus. The options for screen traversal under the menu option **Screen** are also available in this mode.

The validation checks for updating the record are given below:

Warning 1

If you modify a data entry field and the outcome of the modifi-cation affects related fields, the following warning message appears:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?".

Yes - Go ahead and reset all related fields.
No - Resets fields with previous values.

Examples of these types of fields are provided earlier in this guide under the section "Types of Survey Questions."

Warning 2

If you modify a data entry field, then choose an option under the menu option **Screen** or any other menu option that is active (other than **Save**), you'll see the warning message shown below.

Warning Window

Choices in the warning window perform the following:

Yes (w/edits) Saves the record after validating all input information.

Yes (w/o edits) Saves the record without validating input information.

No Does not save the record and proceeds with operation selected. Any data fields that have been changed are reset to their previous values.

Cancel Returns you to the original screen modified.

Help Displays help messages for this screen.

Saving Data

When you're in Update mode, you can choose any active menu option under **File**, **Database**, or **Reports**. If you choose any of these options, you'll see a warning message stating that the updated record has not been saved. You now have three options:

- save the record.
- do not save the record, but continue with the menu item process chosen.
- return to the **Update** mode.

To save the updated record to the database, choose **Save** from the **Database** option. A submenu displays two options:

Save with Edits, which updates the record to the database after validations are accomplished.

Save without Edits, which saves the updated record to the database without executing any validations.

If you choose the **Save with Edits** option, during validations if any incorrect input is encountered, error messages are displayed and the cursor is on the field in error. If there are no errors encountered during validations, the record is written to the database. A message appears on the status line indicating that the record has been successfully updated.

Deleting Data

If you choose **Delete** from the **Database** option, a warning message prompts you, "Are you sure you wish to delete?". The options available are:

Yes - Deletes the survey record
No - Returns control to the main window

If you choose the **Check_for_Errors** menu item from the **Validate**

Final Validation option, validation checks for all screens are performed. If any errors are encountered, an error message is shown.

Error Report — Option Selection Window

At this point, an error file has already been generated indicating the associated errors for the current year being processed. You can then either:

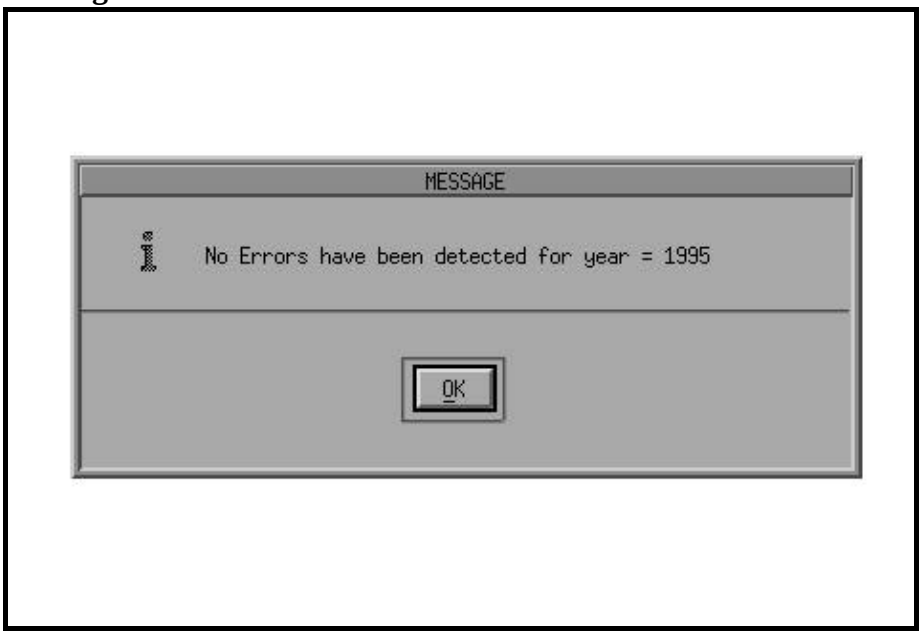
- preview the error file,
- print the error file,
- save the error file,
- return to the update/add session, or
- request help.

A validation stamp displaying "** INCOMPLETE **" is shown on the survey, which indicates that fields must be corrected.

Text Validation. *Text must be entered for all questions requiring comments as well as questions asking for "Code Source(s)". If the code source is unknown, enter "Information not available". Failure to do so will cause validation errors.*

If no errors are encountered after the menu item **Check_for_Errors** from the **Validate** option is selected, a message appears indicating that no errors have been found. The validation stamp displays "** COMPLETE **" on the survey.

Message Window



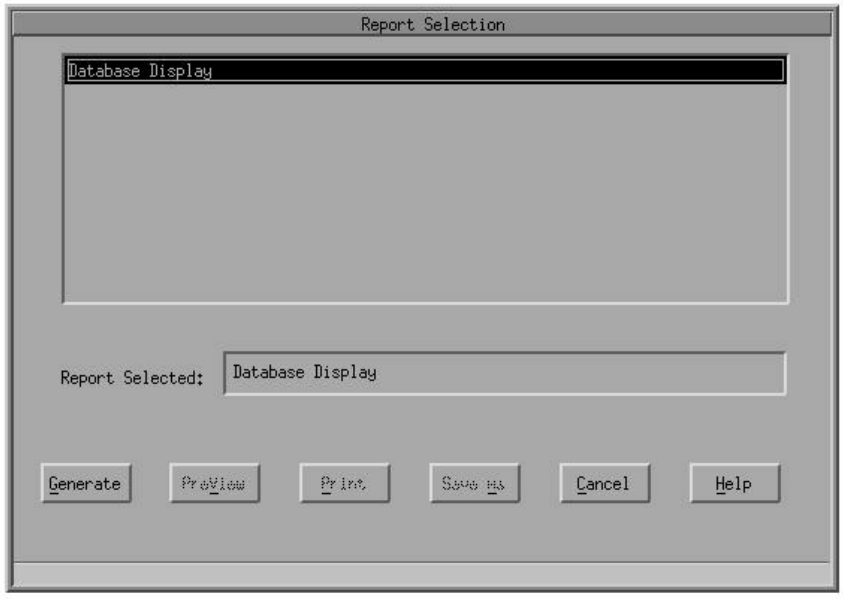
Generating Reports

If you choose the **Generate Reports** menu item from the **Reports** option, the Report Selection window is shown. Six pushbuttons appear at the bottom of the window:

- **Generate**
- **PreView**
- **Print**
- **Save As**
- **Cancel**
- **Help**

Four pushbuttons — **Generate**, **PreView**, **Print**, **Save As —** are inactive, but become activated when required during the report generation process. Shown below is the screen display of the Report Selection window.

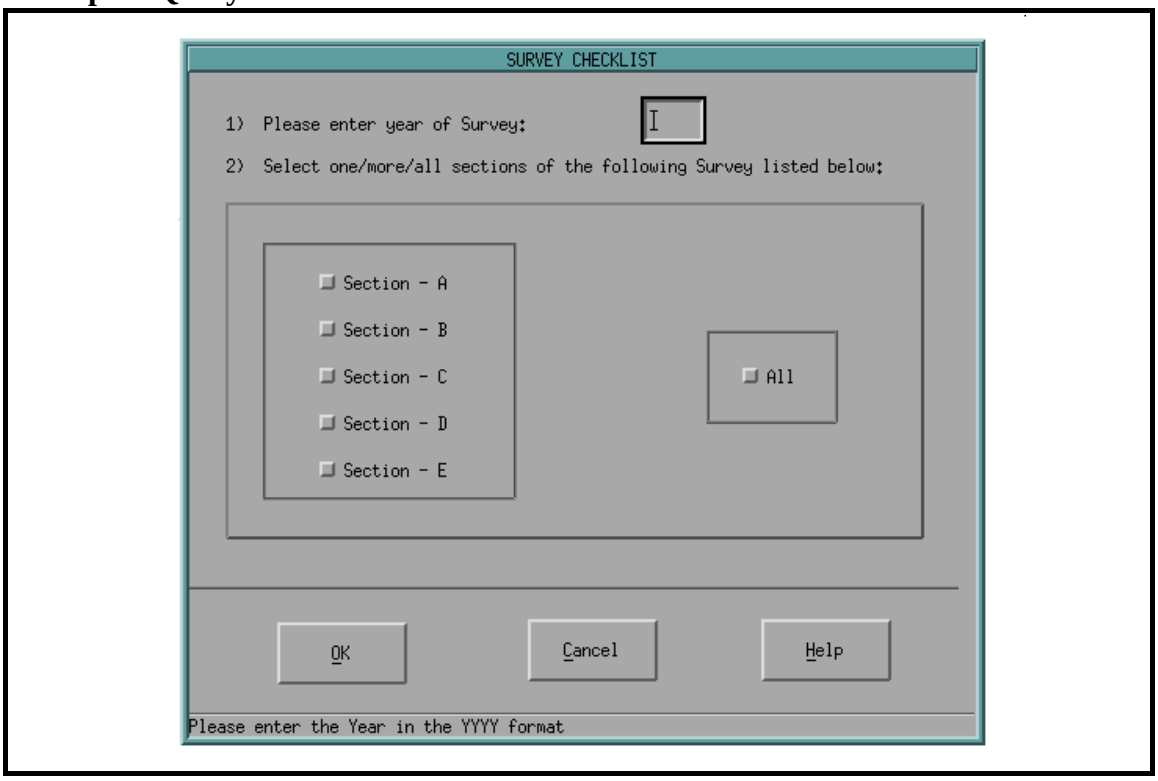
Report Selection Window



The Report Selection window displays a Database Display report that can be generated by this module.

If you choose the Database Display report, the report's name appears in the Selection window and the **Generate** pushbutton becomes active. If you choose the **Generate** pushbutton, a query window appears prompting you for the parameters "Year" and "Sections Required." The validations on year on this query window are similar to those described in the data entry section.

Report Query Window

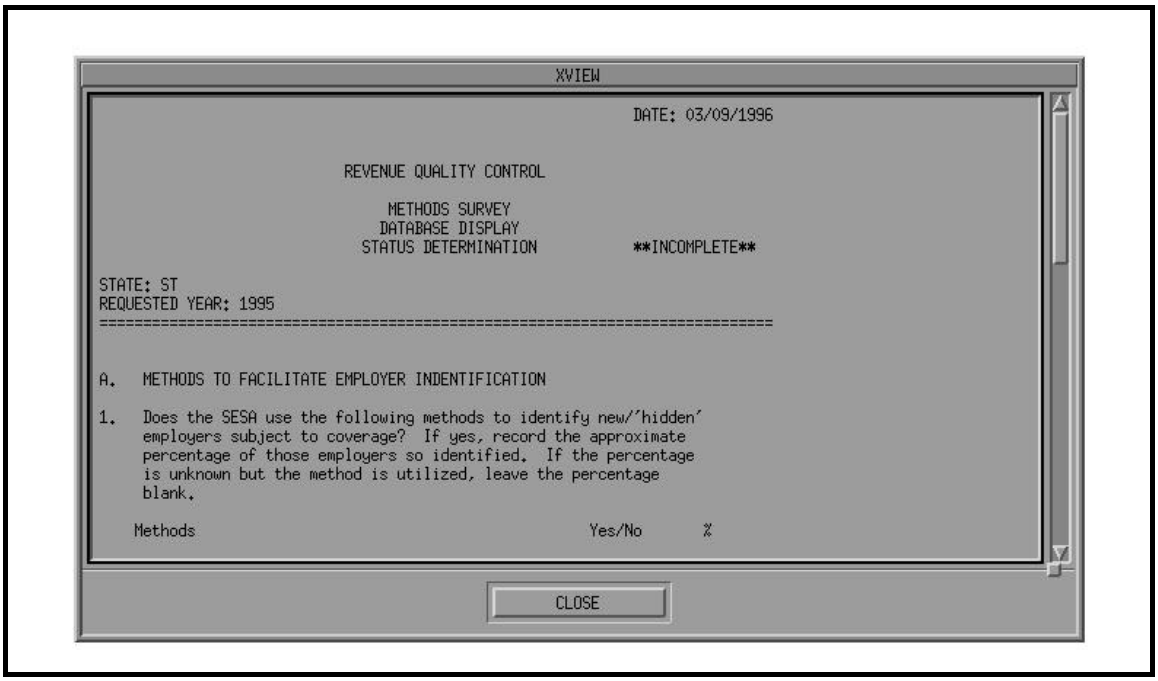


When you enter valid parameters, the query window closes and the processing message, "Report Generation in Progress ... Please Wait," appears. Once Report Generation is complete, the pushbuttons **PreView**, **Print**, and **Save As** become active.

Viewing Reports When you choose **PreView**, the report is displayed on a view window.

When you choose **Close** on the view window, the window closes and control returns to the Report Selection window.

View Window

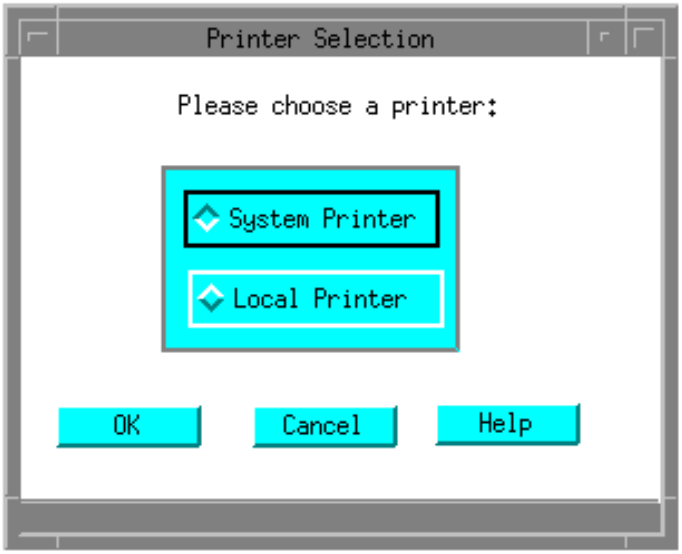


Printing Reports When you choose **Print**, the printer selection window appears.

Options available are **System Printer** and **Local Printer**. Three pushbuttons appear at the bottom of this window: **OK**, **Cancel**, and **Help**. If you choose **Cancel**, control returns to the Reports Selection window. If you choose **Help**, help messages are displayed related to the printer selection window. If you choose **OK**, the printer selection window closes, the report is printed on the printer selected, and control returns back to the Reports selection window.

Shown below is the screen display of the printer selection window.

Printer Selection Window



To save a report, choose **Save As**. The `Save As` window, shown below, appears.

Save As Window

Saving Reports

At the bottom of this window three pushbuttons appear: **OK**, **Cancel**, and **Help**. If you choose **OK**, the default report name and path are used and the file is saved in the default directory. If you change the default filename or the path, the input gets validated. Shown below are the default filenames generated by the system for each report selection.

Report Selection	Default Filename
Database Display	ms_s_d_Year.login_id Ex: ms_s_d_1990.timmsr

If you choose **Cancel** on the `Report Selection` window, the `Report Selection` window closes and you're returned to the main window.

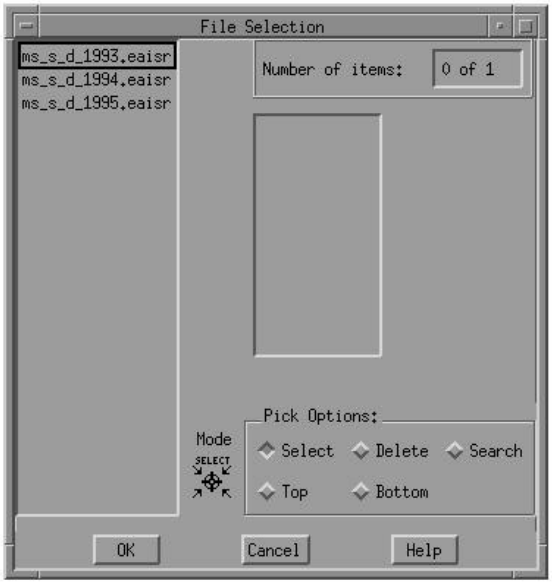
If you choose **Help** on the `Report Selection` Window, help messages related to the Report Selection window are displayed.

File Options Available After Generating Reports

If you generate reports during a session, *after* the reports are generated you have the following options available from the **File** option in the menubar: **Open**, **Save As**, and **Print**.

Open. If you choose **Open**, a `File Selection` window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message, "No Report files present for Retrieval" is displayed.

File Selection Window



Three pushbuttons appear at the bottom of the `File Selection` window: **OK**, **Cancel**, and **Help**. Any file chosen from the list appears on the selection window.

To display the file, select **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose **Save As**. However, if no reports are generated during this session, a message "No Report files present for Retrieval" is displayed.

Three pushbuttons appear at the bottom of the `Save As` window: **OK**, **Cancel**, and **Help**. When you choose **OK**, the default report name and path are used and the file is saved in the default directory. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the `Save As` window.

Print. To print selected reports generated during the session, choose **Print**. A submenu with the options **System** and **Local** appears. If you choose either option, the File Selection window appears. However, if no reports are generated during a session, a message "No Report files present for Retrieval" appears.

Three pushbuttons appear at the bottom of the File Selection window: **OK**, **Cancel**, and **Help**. If you choose a file from the list, the selection appears on the selection window. To print the file on the printer selected, choose **OK**. Choose **Cancel** to return to the main window. Choose **Help** to view help messages related to the File Selection window.

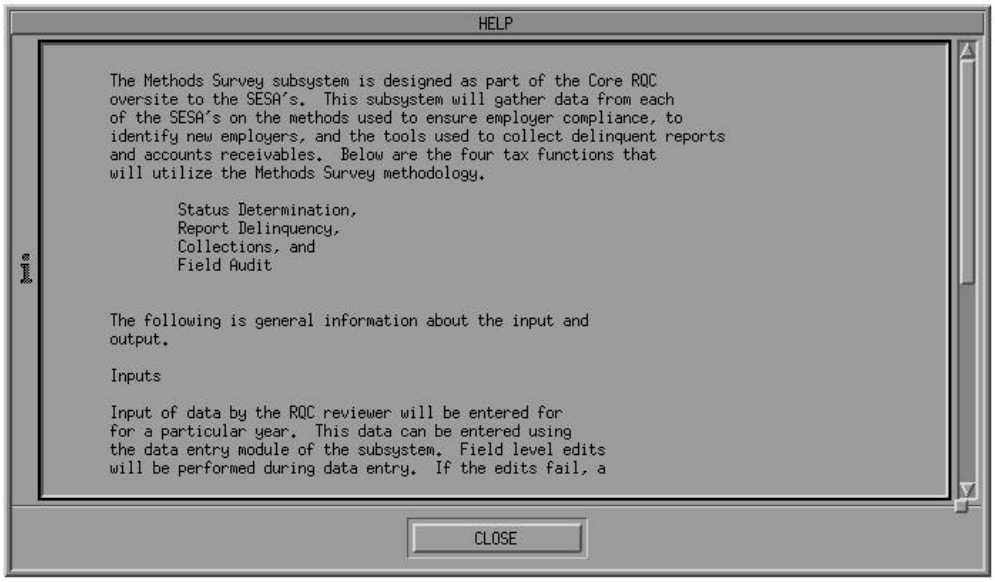
Using Help

The Help Section provides the following five options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information
- widget usage help

Shown below is the screen display of a typical help window.

Help Window



If you choose the **Context-Sensitive Help** option from the **Help** menu, a help window appears with messages related to the field on

focus. (*Note*: The Context-Sensitive Help option is active only if you choose **Add** or **Update** from the **Database** menu.) To exit the Context-Sensitive Help option and return to the main window, choose **Close**.

To see an overview of the subsystem, choose **Overview**. To return to the main window, choose **Close**.

To see a help window with keyboard operation procedures for this part of the application, choose the **Keyboard** option from the **Help** menu. To return to the main window, choose **Close**.

To see a help window with product release information for this part of the application, choose the **Product Information** option from the **Help** menu. To return to the main window, choose **Close**.

If you choose the **Widget Usage Help** option from the **Help** menu, a help window appears with messages related to the widget on focus. (*Note*: The Widget Usage Help option is active only if you choose **Add** or **Update** from the **Database** menu.) To exit the Widget Usage Help option and return to the main window, choose **Close**.

Database Display

Samples of Reports

Outputs generated by the Methods Survey subsystem are the database display reports, which are replicas of the data entry screens.

Below is an example of the database display report for a Status Determination Methods Survey (note that this example is an "Incomplete Report"), followed by an example of the error report. Data used in the example are not meant to be actual responses by a State agency, but are shown for format purposes only.

Database Display

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995

A. METHODS TO FACILITATE EMPLOYER INDENTIFICATION

1. Does the SESA use the following methods to identify new/'hidden' employers subject to coverage? If yes, record the approximate percentage of those employers so identified. If the percentage is unknown but the method is utilized, leave the percentage blank.

Methods	Yes/No	%
a. Voluntary Registration	Y	25.50
b. Investigation of Blocked Claims	Y	
c. Follow-up of Tips and Leads	N	
d. Crossmatch IRS Tape for FUTA Certification (940 Identification Tape)	Y	21.60
e. Crossmatch IRS FEIN Indentification Tape (941 Quarterly Entity Extract Tape)	Y	17.45
f. Crossmatch with non-SESA State Agencies	Y	34.57
g. Review Bankruptcy Court Proceedings	Y	50.98
h. Canvass Areas/Neighborhoods	Y	57.67
i. Exchange Audit Results with IRS	Y	89.89
j. Review 1099's	Y	26.56
Other(list and describe below)		
k. (Field #1 – for other methods)		11.50
l. (Field #2 – for other methods)		12.50
m. (Field #3 – for other methods)		14.50

2. Does the SESA analyze the effectiveness of employer identification sources it utilizes? Y

If yes, describe the analysis and findings for the last period analyzed.

The analysis and findings will be used to describe the effectiveness of the identification sources.

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM
METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
==========

B. Methods to Promote Employer Registration

1. What type of UI employer registration system does the SESA utilize?

	Yes/No
a. Single Employer Registration form?.....	Y
b. Unified/Combined Employer Registration (a form utilized by two or more government agencies within a State to register employers)?.....	Y

2. Does the SESA identify multi-State employers (i.e., employers who have locations in more than one State)?..... Y

3. Answer the following questions to determine whether the SESA has systems in place to facilitate voluntary and accurate employer registration on UI Status forms:

   a. Does a system exist to solicit employer comments to assess the effectiveness of Status forms (e.g. are forms readable, are instructions clear, etc.)? ..... Y

      If yes, describe

      This is the part which is difficult to test. But one can be sure this does not always happen.

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY

```
                          DATABASE DISPLAY
                        STATUS DETERMINATION           **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
=======================================================================

    b.  Is there a systematic SESA analysis of the Status
        forms by collecting information
        and reviewing frequently asked questions,
        common mistakes and/or missing data?............   Y

        If yes, describe

        Forms are reviewed and improvements made for common errors.

    c.  Does the SESA perform outreach activity
        to communicate with and/or educate
        non-registered or potential employers
        regarding UI requirements and employer
        rights and responsibilities?....................   N

        If yes, describe


4.  Does the SESA have other methods to promote
    voluntary employer registration?......................   Y

    If yes, describe

    Other methods include registration forms sent to employers by
    mail.  Sometimes reminders are sent too.  The way it is handled is
    on a case by case basis.  Once this is done, each employer
    receives a tax benefit for paying their taxes on time.




                                                DATE: 04/05/1996

                        TAX PERFORMANCE SYSTEM

                           METHODS SURVEY
                          DATABASE DISPLAY
                        STATUS DETERMINATION           **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
=======================================================================


C. Methods to Investigate Special Status Issues

1.  As part of the Status function, does the SESA
```

have special investigative procedures (other than routine field assignments) to determine whether workers are employees or independent contractors?.... Y

If yes, describe

As a part of the State function, this is an important function to be accomplished as soon as possible.

2. Does the SESA have methods to identify employee leasing operations?..... N

If yes, describe

3. Has the State legislature passed laws to accommodate the employee leasing industry?..... N

If yes, describe

4. Do the SESA's successorship laws address employee leasing?..... N

If yes, describe

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
==========

D. ELECTRONIC DATA INTERCHANGE

1. Does your SESA law, regulations and/or procedures allow/address the electronic filing of data by employers?..... Y

If yes, please answer 2 through 10

2. Do your policies and/or procedures address reports and/or forms being submitted without signatures?..... Y

3. Is each employer required to complete an

application in order to file data electronically?.... Y

4. Are PIN numbers or other security codes assigned to employers who are submitting data electronically?..... Y

5. Are employer representatives (e.g., accountants, attorneys) allowed to electronically submit data for employers?..... Y

6. Does your SESA specify the electronic records that EDI employers must retain?..... Y

If yes, explain in what format and the time period:

SESA follows the format sent by the National Office to the ADP section. It is expected of the SESA to retain at least a year's worth of information for analysis.

7. What type(s) of reporting does your SESA accept?

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995

		Status	Tax Report	Wage Record	Adj. Forms.
a.	Paper	N	Y	N	Y
b.	Magnetic tape	Y	Y	Y	Y
c.	Tape cartridge	Y	Y	Y	Y
d.	Diskette	N	Y	Y	N
e.	Telephone/IVR	N	N	Y	Y
f.	Via Modem	Y	Y	Y	Y
g.	Kiosks	N	N	N	N
h.	E-Mail	N	N	Y	Y
i.	Other, describe	N	N	Y	Y

Some reports are accepted by mail too.

8. How were EDI standards for submitting employers

data and contribution/wage reports determined
for your SESA?

		Yes/No
a.	Jointly by employers and SESA.....	N
b.	As developed by ICESA.....	N
c.	Other, please explain.....	N

9. Do other government agencies in your State accept the same EDI standards for filing reports?..... INA

10. Is your SESA a member of an EDI user's group?..... Y

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
==========

E. APPEALS SECTION

1. Does the SESA's Unemployment Compensation law address appeals of any of the following employers tax issues?

		Yes/No
a.	Initial liability.....	Y
b.	Tax rates.....	N
c.	Audit results.....	N
d.	IC/EE determinations.....	N
e.	Adjustments.....	N
f.	Other, please explain.....	N

2. Does the SESA have an Appeals section/division that hears tax issues?..... N

		Yes/No
	If yes:	
a.	Is it separate from the Benefit appeals section?.....	
b.	Is there a Tax, lower appeal authority?.....	
c.	Is there a Tax, higher	

appeal authority?.....

3. What is the first step in appeals to the State Court System (e.g., District, Court of Appeals, Supreme Court)?

District Court of Appeals.

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

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==========

4. What are the qualifications of the Appeals officers?

		Yes/No
a.	Attorneys.....	Y
b.	Tax specialists.....	N
c.	Other, please explain.....	N

5. If higher level tax appeals are heard, are they heard by the same body that hears higher level UI benefit appeals?..... N/A

If no, explain:

6. Does the SESA have controls in place to ensure the timeliness of appeal decisions?..... N

If yes, describe:

a. Controls

```
     b.    Accountability
           --------------


     c.    Effectiveness
           -------------

  7.  Approximately how many tax appeals are pending?

      Indicate by answering yes to the closest range.

                                                          Yes
                                                          ---
     a.    0 to 500
     b.    501 to 100
     c.    1001 to 1500
     d.    1501 to 2000.........................          Y
     e.    Over 2000


                                          DATE: 04/05/1996


                        TAX PERFORMANCE SYSTEM

                           METHODS SURVEY
                         DATABASE DISPLAY
                        STATUS DETERMINATION          **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
================================================================================


  8.  What is the average age of pending
      tax appeals?.............. 5 years

  9.  Are employers with outstanding appeals:

                                                          Yes/No
                                                          ------
     a.    Required to pay the contributions
           due on wages under appeal?.............          Y

     b.    Required to pay the contributions,
            plus any applicable interest and
            penalty, after the appeal is final?...         Y

  10. What is the approximate dollar amount at
      issue in the tax appeal cases currently
      pending?....... 3456789.00
```

Error Report

DATE: 06/07/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
ERROR FILE
STATUS DETERMINATION

STATE: ST
REQUESTED YEAR: 1993
==========

Section A
_____

Sect A - 1d : irs_futa_cert - button selection invalid
Sect A - 1e : irs_fein_id - button selection invalid
Sect A - 1k : other_k - data missing

Section B
_____

Sect B - 1a : sing_emp_reg_form - button selection invalid

Section C
_____

Sect C - 2 : id_emp_leasing - button selection invalid

Section D
_____

No errors have been detected for section D

Section E
_____

No errors have been detected for section E

PROGRAM REVIEW

SAMPLING

DEFINING SAMPLING

Sampling is a portion of a larger population or universe. For TPS, sampling is used to gather data on the outputs of the various Tax functions. Each sample is extracted from a universe of a certain type of transaction occurring within a specific time frame.

PURPOSE OF SAMPLING

The purpose of sampling is to make accurate judgments about the entire population, without having to review every transaction. Sampling permits data to be collected and analyzed at greater speed and at less cost than reviewing every transaction.

Sampling will be conducted for the following tax activities:

a. Status Determination

- New
- Successor
- Terminations

b. Cashiering

c. Report Delinquency

d. Collections

e. Field Audit

f. Account Maintenance
- Contribution Report Processing
- Debits/Billings
  - Contributory
  - Reimbursing
- Credits/Refunds
- Benefit Charging
- Tax Rates

TYPES OF SAMPLES

Two types of samples are used - *Acceptance samples and Estimation samples.*

Acceptance Samples are used in all of the above tax activities except Cashiering. One activity, Debits / Billings, has samples for both contributory and reimbursing employers. In the Status Determination activity there are three samples collected to reflect the type of determination involved - New, Successor and Inactivations/Termination.

An *Estimation Sample* is used in the Cashiering function.

OVERVIEW

The Sampling subsystem is a set of modules which use a suite of sophisticated menu-driven software to input, update, and retrieve data collected for samples reviewed by States in the tax functions of Status Determination, Cashiering, Report Delinquency, Collections, Field Audit and Account Maintenance. In the Account Maintenance function samples are reviewed in Contribution Report Processing, Debits/Billings, Credits/Refunds, Benefit Charging and Tax Rates.

Data entered is identical to responses for the set of sampling questions in the TAX PERFORMANCE SYSTEM Operations Handbook. The software provides data entry screens whose formats are similar to the coding sheets in the Handbook.

Since the Acceptance Sample coding sheets for the tax functions are similar in nature, this guide covers general operations using examples of the types of questions possible and does not show in detail every question used in each tax function.

The software provides the means for retrieving a given year's Sampling data pertaining to a particular tax function. Output Reports consist of data extracted from the database for an input year. Other outputs include an error report which can be generated if the sampling coding sheet is incomplete or has missing/invalid information.

NORMAL USE OF SAMPLING SOFTWARE

This guide is organized according to the order in which the menu options appear on the screens, however the following will be the normal usage steps.

You will normally "Add" sampling information when first using the software. Data can be added for all or part of a sample. If the entire sample can be entered at once, you need only validate and save the data.

When all or part of a sample has already been entered and you want to continue to add or update previously entered information, the sample must first be retrieved (using **Query**) from the database. Once the proper year has been retrieved (queried), you must select **Update** to either complete the data entry or change previously entered information. Each time you exit or move to another menu choice, you will be asked to save the information.

Once all data is entered and validated for a particular sample, the sample should be "marked" as complete after which further updates to the sample are prevented. Database display reports can be generated upon completion of data entry.

ACCESSING SAMPLING

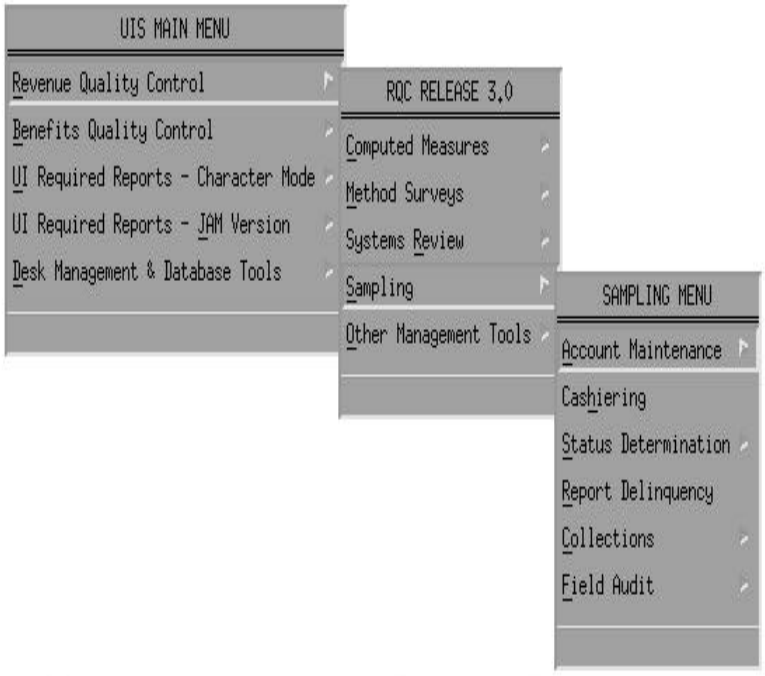
To access the **Sampling** option, press F2 or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Choose (S)ampling from the TPS Main Menu to display the six tax functions. Any one of the six tax functions can be selected for execution.

Selecting (A)ccount Maintenance will display the five types of samples used within the function.

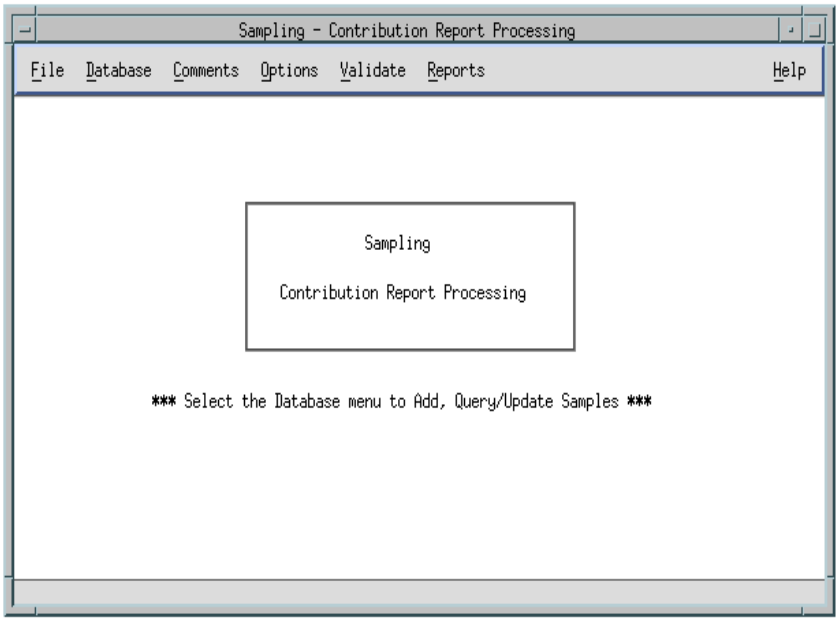
SAMPLING MENU



ENTERING DATA

If the reviewer chooses the "Contribution Report Processing" tax function from the Account Maintenance menu, the Contribution Report Processing main window is displayed.

MAIN WINDOW



The main window has the menu-bar with the following options: File, Database, Comments, Options, Validate, Reports and Help.

The following are options available for each option on the menu-bar.

File

Exit - to terminate the application.

Database comprised of

Add,
Query,
Update, and
Save.

Comments comprised of

General Comments,
Failure 1,
Failure 2,
Failure 3, and
Other Failures.

Options comprised of

Stamp,
Replace Case, and
Discard Sample.

Validate comprised of

Check for Errors

Reports comprised of

Generate

Help comprised of

Context-Sensitive Help,
Overview,
Keyboard,
Product Information, and
Widget Usage Help.

The format used in this guide is explained in three distinct sections: **Data Entry, Report Generation, Using Help**, and **Outputs.**

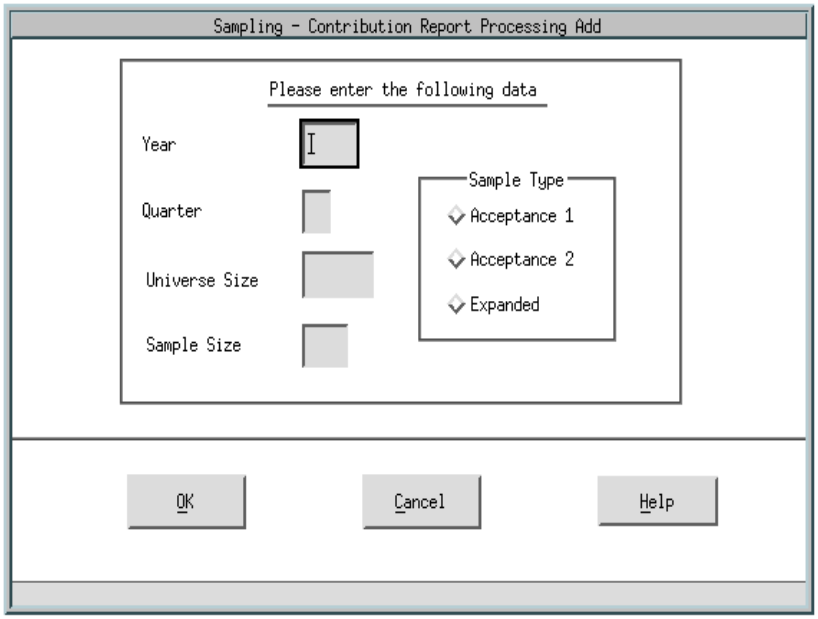
ADDING DATA

The menubar options “Database”, “Comments”, “Options” and “Validate” on the menubar handle data entry for the application. On selecting the “Database” option on the menubar, a pull-down menu is displayed. The options available are “Add”, “Query”, “Update” and “Save”.

On selecting the “Add” option, the Add Control Information window is displayed.

Given below is an example of the Add Control Information window.

ADD CONTROL INFORMATION WINDOW



The Add Control Information window prompts for entry of the Year, Quarter, Sample Type, Universe Size, and Sample Size. All input is validated for accuracy.

Validation 1:

The validation criteria for Year field are:

1. The year field cannot be blank.

2. The year must be four digits.

3. The year cannot be greater than system year.

4. The year cannot be less than 1996.

Validation 2:

The validation criteria for quarter field are:

1. The quarter field cannot be blank.

2. The quarter should range from 1 to 4.

3. If current year is selected, the quarter cannot be greater than system quarter.

Validation 3:

The validation criteria for sample type field are:

1. The Sample Type cannot be blank.

2. Valid Sample Types are:
   - Acceptance Sample 1
   - Acceptance Sample 2

- Expanded Sample

3. The Acceptance Sample 1 for the year selected must be discarded before choosing Acceptance Sample 2 for the same year.

4. The Acceptance Sample 2 for the year selected must be discarded before choosing Expanded Sample 2 for the same year.

Validation 4:

The validation criteria for the Universe Size field are:

1. The Universe Size cannot be blank or zero.

2. The Universe Size cannot be less than 10 and cannot be greater than 999999.

The Sample Size is calculated automatically by the software on valid entry of the Universe Size. The "c_as_sample_code" table stores the Sample size for different Universe size range. Given below is the lookup table for the Sample Size.

Universe Size	Sample Size
1200 - 999999	60
700 - 1199	59
400 - 699	58
200 - 399	56
100 - 199	48
88 - 99	37
76 - 87	36
64 - 75	35

53 - 63	33
41 - 52	31
30 - 40	28
10 - 29	10 - 29, corresponding to same as universe size.

NOTE: If the sample size has been reduced due to rejecting cases that should not have been in the universe, the Regional Office must be advised so that this validation step may be bypassed. As explained in Chapter II, in the section on Acceptance Sampling, under such circumstances, the sample size can only drop down to a minimum of 53 cases.

Validation 5:

The Sample Size field is protected from input for the Acceptance Sample 1 & 2. However, the user will have the option of changing the Sample Size for an Expanded Sample.

The validation criteria for the Sample Size field are:

1. The Sample Size cannot be blank or zero.
2. The Sample Size cannot be greater than the Universe Size.

The application will display error messages if any input violates the validations. For example, if the Sample Type “Acceptance Sample 2" is selected and the “Acceptance Sample 1" for the same year is not yet discarded; the error message will display to warn the user about the discard status of “Acceptance Sample 1". Acknowledging the error by clicking “OK” passes focus back to “Acceptance Sample 1". The following is an example of this error message.

ERROR MESSAGE WINDOW

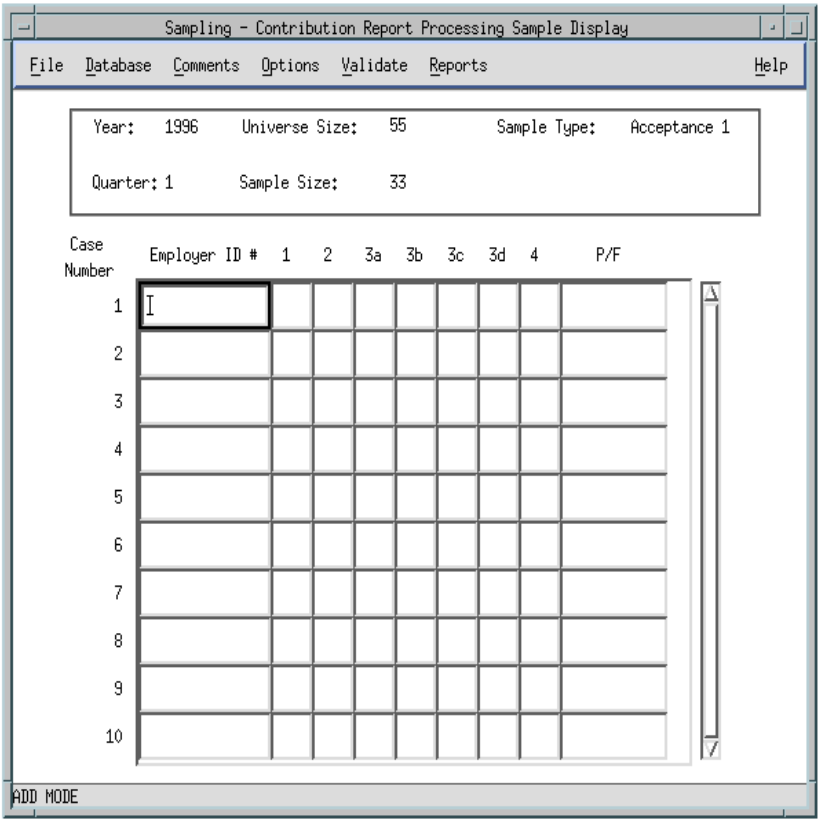
At the bottom of the Add Control Information window are three pushbuttons options: “OK”, “Cancel”, and “Help”.

On selecting “Help” on this window, help messages related to the input are displayed.

On selecting “Cancel” control returns to the previous window displayed.

On selecting “OK”, all the validations described above are executed. If the user entered a combination of year, sample type which already exists in the database, a error message will be displayed and the user is requested to re-enter the input. However, if the input criteria is found valid the Sample Data Entry window is displayed.

SAMPLE DATA ENTRY WINDOW



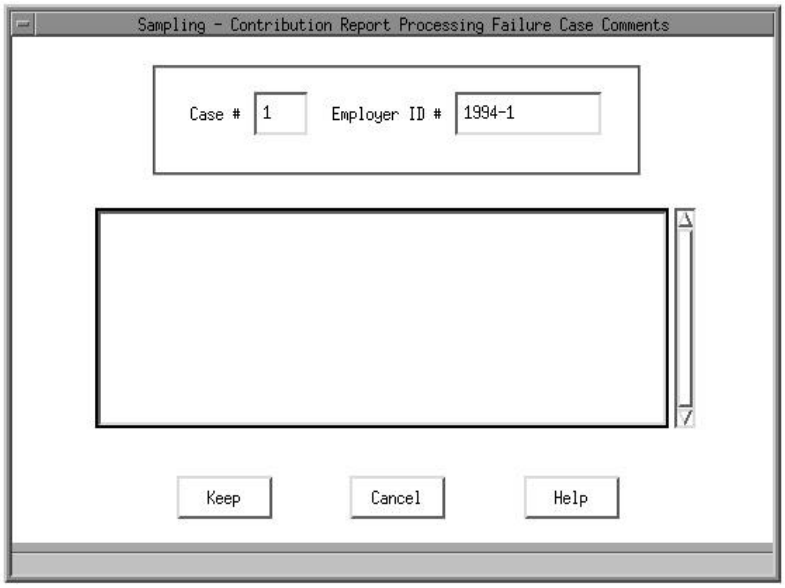
Sample records can now be added on each row. The grid widget, which is similar to a spreadsheet, facilitates easy entry of the input responses based on questions from the Acceptance Sample Questionaire. The total number of rows on the grid will be equal to the Sample Size entered earlier. Depending on the responses entered for each question, the cursor will automatically shift to the associated/related questions. For Example: In the Contribution Report Processing questionaire, if the response to question 1 for a case is affirmative, the cursor skips question 2 and shifts to question 3 and then 4.

Cases entered on the grid can be saved at any time by choosing the “Save” option on the “Database” menu. The “Pass/Fail” status is automatically calculated after entry of all

questions for a case. If the status of a case entry results in a "PASS", the control is automatically transferred to the next available row. If the status of a case entry results in a "FAIL", the Failure Comments Window will be displayed and the user will be prompted to input comments for case failure. The Failure Comments Window will be displayed for only the first three failures.

Given below is an example of the Failure Comments Window.

FAILURE COMMENTS WINDOW



After entering failure comments, the user selects one of the following pushbutton options: "Keep", "Cancel" or "Help".

On selecting the "Keep" pushbutton, failure comments entered for the case are stored and the control returns back to the Sample Data Entry Window.

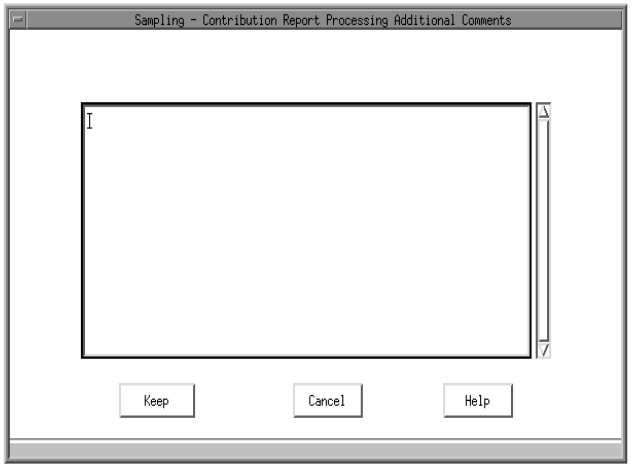
On selecting the “Cancel” pushbutton, the control returns to the previous window displayed.

On selecting the “Help” pushbutton, help messages related to the Failure Comments window are displayed.

Failure Comments for the first three cases can also input using the options “Failure 1", “Failure 2" and “Failure 3" under the “Comments” option on the menubar.

In addition to the three Failure Comments windows, additional failures can be recorded by choosing the “Other Failures” option under the “Comments” option on the menubar. However, this window can only be displayed if there is at least one case failure. Given below is an example of the Other Failures Comments Window.

OTHER FAILURES COMMENTS WINDOW



After entering additional failure comments (if necessary), the user selects one of the following pushbutton options available on the window: "Keep", "Cancel" or "Help".

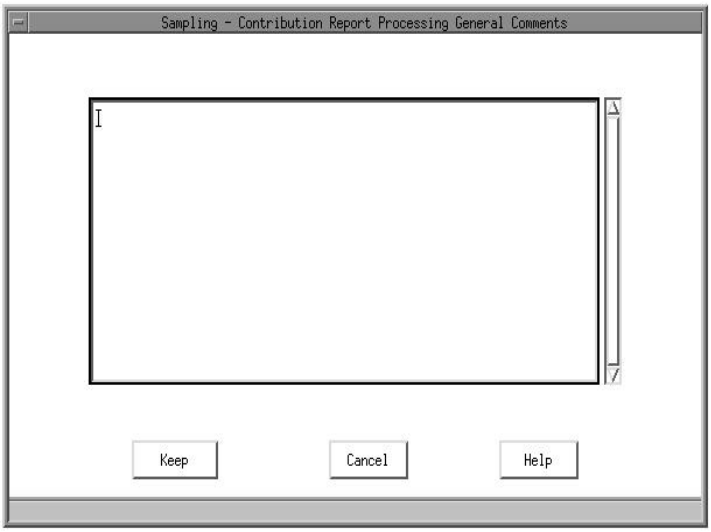
On selecting the "Keep" pushbutton, additional failure comments entered for the case/sample are stored and the control returns back to the Sample Data Entry Window.

On selecting the "Cancel" pushbutton, the control returns to the previous window displayed.

On selecting the "Help" pushbutton, help messages related to the Other Comments window are displayed.

General Comments for the sample can be entered by choosing the option "General Comments" under the "Comments" option on the menubar. Any general information regarding the sample can be recorded in this window. Given below is an example of the General Comments Window.

GENERAL COMMENTS WINDOW



After entering general

comments (if necessary), the user selects one of the following pushbutton options available on the window: “Keep”, “Cancel” or “Help”.

On selecting the “Keep” pushbutton, general comments entered for the case/sample are stored and the control returns back to the Sample Data Entry Window.

On selecting the “Cancel” pushbutton, the control returns to the previous window displayed.

On selecting the “Help” pushbutton, help messages related to the General Comments window are displayed.

Other option available in the “Add” mode are in the menu options under the “Options” menu of the menubar.

The “Stamp” option under the “Options” menu facilitates quick entry of sample cases. On selecting the “Stamp” option, the entire row is filled with the affirmative responses for the case and control is transferred to the next row. For Contribution Report Processing, the following question will be “stamped” with the response “Y”:

(1) Question 1 - “Y”
(2) Question 3a - “Y”
(3) Question 3b - “Y”
(4) Question 3c - “Y”
(5) Question 3d - “Y”
(6) Question 4 - “Y”

Using the “Stamp” option results in the “PASS” status for the case.

If a particular case in the sample does not have adequate information to conduct the review successfully, the user has the option of replacing the case. **However, only one case replacement is allowed**. To “replace” a case, the “Replace Case” option under the “Options” menu is selected. On selecting this option, a warning message is displayed. Given below is an example of the warning window.

CASE REPLACE WARNING WINDOW

Two pushbutton options are available on this window: “Yes” and “NO”. If the user selects the “Yes” pushbutton, “*” is displayed across the row and a “*R*” code is displayed as the PASS/FAIL status. **This case is now “locked” from further updates**. In addition, the number of rows on the grid of the Sample Data Entry window increases by one to enter the case replacement. On selecting “NO”, control is transferred to the Sample Data Entry Window.

The “Discard Sample” option under the “Options” option facilitates the discard of the entire sample. On selecting the “Discard Sample” option, a warning is displayed.

DISCARD SAMPLE WARNING WINDOW

Two pushbutton options are available on this window: "Yes" and "NO". **If the user selects the "Yes" pushbutton, the entire sample is discarded and the sample is now "locked" from further updates**. A message is displayed on the status line that the sample has been discarded. On selecting "NO", control is transferred to the Sample Data Entry Window.

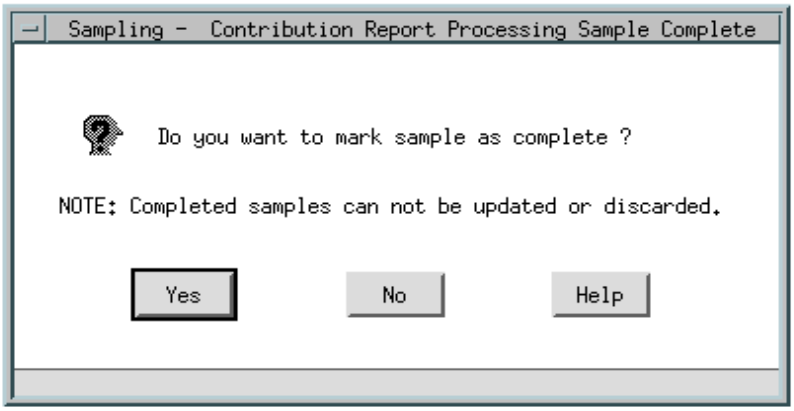
Validations on the entire sample can be accomplished by selecting the "Validate/Check_for_Errors" option on the menubar.

If the "Validate/Check_for_Errors" option is chosen, validation checks are made against the database to ensure the following:

(1) The number of cases input match the sample size.
(2) Each case entered is complete.
(3) Failure Comments are entered for the first three case failures.

If all the above validations are satisfied, a message which displays "No Errors Found" is displayed. On selecting the "OK" button on this message box, another prompt dialog appears. This dialog, shown below, prompts the user to decide if he wants to "mark" the sample as complete.

MARK COMPLETE WINDOW



Three pushbutton options are available on this window: “Yes”, “No”, “Help”.

If the user selects “Yes”, the sample is marked “COMPLETE” and further updates to the sample is prevented.

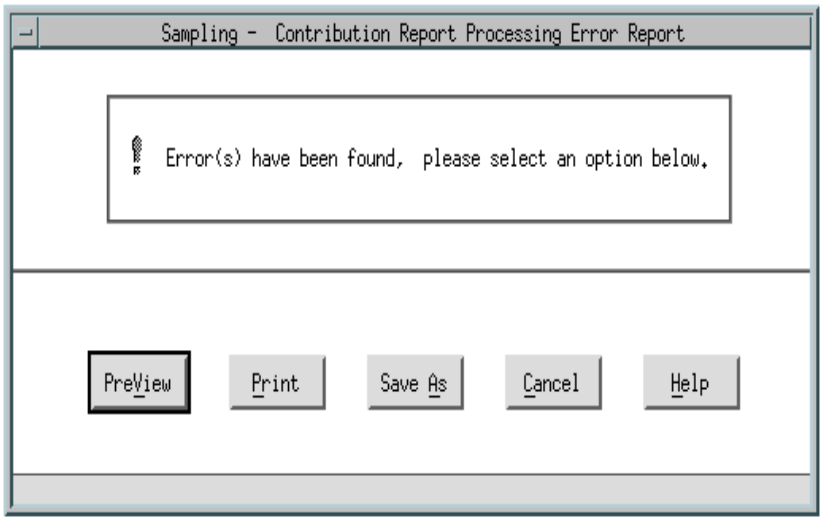
On selecting “No”, control is transferred to the previous window.

On selecting “Help”, help messages related to the Mark Complete Window are displayed.

If any of the above listed validations check are not satisfied, an error report is generated and Error Warning Window is displayed.

Given below is an example of the Error Warning Window.

ERROR WARNING WINDOW



Five pushbutton options are available at the bottom of this warning window: “PreView”, “Print”, “Save As”, “Cancel”, “Help”.

If the user selects “PreView”, the error report is displayed in a view window. An example of the output is displayed in the “Outputs” section.

On selecting “Print”, the printer selection window is displayed. The user has the option of printing a hard copy of the error report on to a System or Local Printer. Refer to the “Reports Section” for an example of the Printer Selection Window.

On selecting “Save As”, the Save As window is displayed. The user has the option of saving the error file to a required directory location. Refer to the “Reports Section” for an example of the Save As Window.

On selecting “Cancel”, control is transferred to the previous window.

On selecting “Help”, help messages related to the Error Warning Window are displayed.

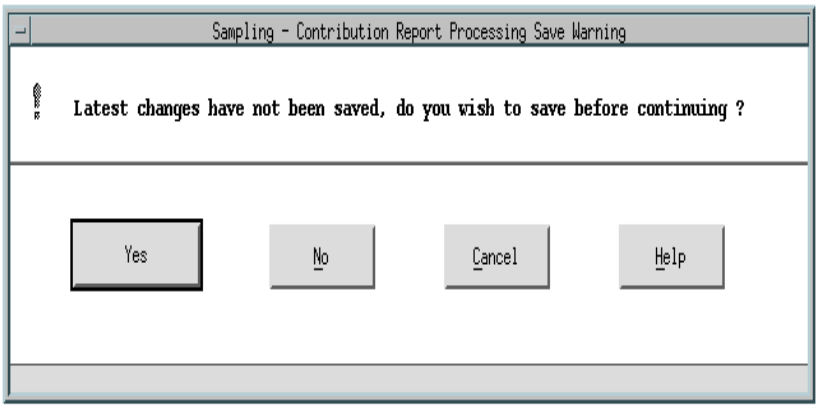
If data has been entered on the Sample Data Entry Window, selecting any of the following options:

- “Options/Discard Sample”,
- “Validate/Check_for_Errors”,
- “Reports/Generate”,
- “Database/Add”,
- “Database/Query” or
- “File/Exit”

results in the display of a warning window which prompts the user to save the input to the database.

Given below is an example of the Save Warning Window.

SAVE WARNING WINDOW



Four pushbutton options are available on this warning window:
“Yes”, “No”, “Cancel”, “Help”.

If the user selects “Yes”, the input data on the Sample Data Entry Window will be saved and the program will continue with the processing of the option selected.

For example: The user clicks on “Exit” on the menu-bar on Sample Data Entry Window which brings up the warning window prompting if the user wishes to save the changes. The user clicks on “Yes” and the data changes are saved to the database and the program terminates.

On selecting “No”, the data changes will not be saved and the program will continue with the processing for menu option selected.

For example: The user clicks on “Exit” on the menu-bar on the Sample Data Entry Window which brings up the warning window prompting if the user wishes to save the changes. The user clicks on “No” and the data changes are not saved and the program terminates.

On selecting the “Cancel” option, the control is transferred to the previous window.

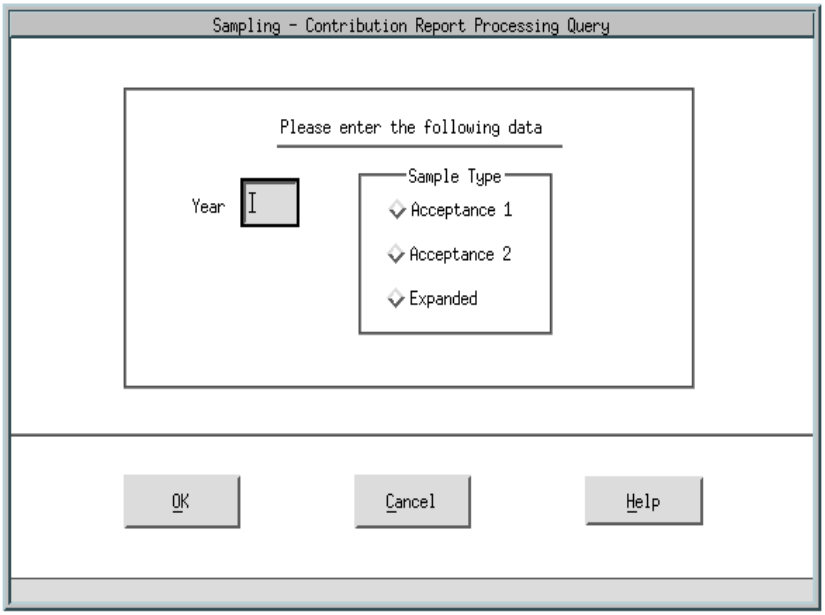
On selecting the “Help” option, the help messages related to the warning window is displayed.

Sample Information previously entered can be viewed and updated (if not discarded or marked completed) by selecting the “Query” option from the “Database” menu.

After selecting the “Query” option, the query screen will be displayed prompting the user to input the Year and Sample Type.

Given below is an example of the Sample Query Window.

SAMPLE QUERY WINDOW



Year and Sample Type are required entry fields and are validated similarly as in the Add function.

The following are the pushbutton options on this window: “OK”, “Cancel”, “Help”.

On selecting “Help”, help messages related to the Sample Query window are displayed.

On selecting “Cancel”, control is transferred to the previous window.

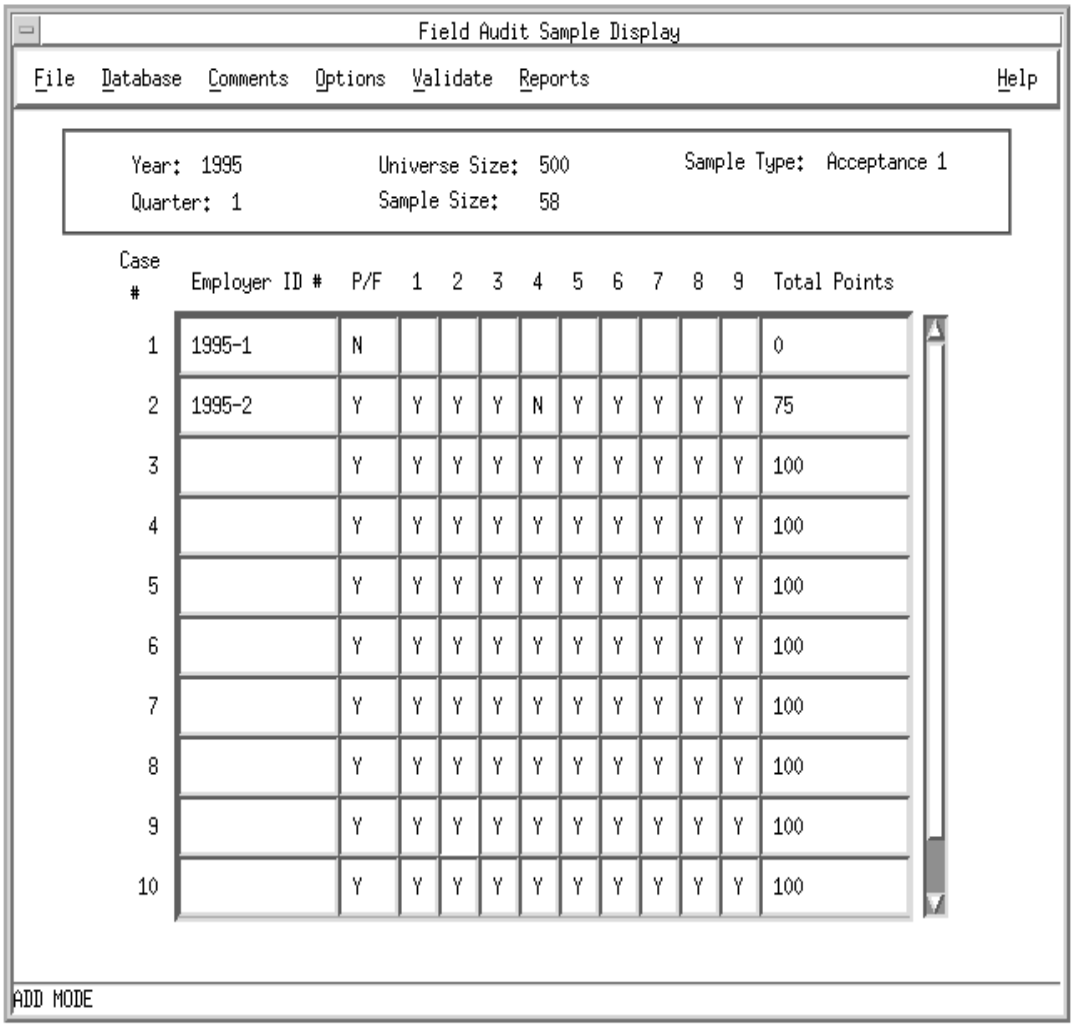
On selecting "OK", input parameters are validated as described in Validation 1 and Validation 3 in the Add function. Additionally, if the sample record for the Year and Sample Type has been discarded or marked completed, display of the sample is prevented. However, users have the option to generate a report of the desired record by choosing the "Reports/Generate" menu option.

If the input parameters are valid, the Sample Data Entry Window is displayed. Updates are prevented to the case records until the "Update" option is chosen.

Choosing the "Update" option, provides the user with the facility of updating cases previously entered or adding cases to the sample. Additionally, all the menu options which facilitate the input of General Comments, Failure Comments, and Other Failures are available. Users also have the privilege of accessing the options such as "Validate/Check_for_Errors", "Options/Discard Sample" and "Options/Replace Case".

FIELD AUDIT

SAMPLE DATA ENTRY WINDOW



Case #	Employer ID #	P/F	1	2	3	4	5	6	7	8	9	Total Points
1	1995-1	N										0
2	1995-2	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	75
3		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
4		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
5		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
6		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
7		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
8		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
9		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100
10		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100

The data entry window for field audit is similar to window for other functions except for the “Total Points” field in which the sum of points scored for each “Yes” response to questions from the Acceptance Sample questionnaire are entered for each case.

Depending on the response entered for the Pass/Fail question, the cursor will automatically shift to a different field. For Example: In the Field Audit questionnaire, if the response to the Pass/Fail question is "N", the "Total Points" field gets the value of 0 and the cursor skips to the "Employer ID#" field of the next available row. On the other hand, if the response to the Pass/Fail question is "Y", the cursor moves to Question 1 of that row. For each question, after the user enters a valid response to the question, the cursor shifts to the next question. The point value of each "Y" response is added to the "Total Points" field automatically after each response is made. After the responses to all questions on that row are entered, the cursor skips to the "Employer ID#" field of the next available row.

Given below is a table showing the point value for each question.

Question	Answer - Y	Answer - N
1	10	0
2	5	0
3	5	0
4	25	0
5	25	0
6	5	0
7	10	0
8	5	0
9	10	0

Cases entered on the grid can be saved at any time by choosing the "Save" option on the "Database" menu. If the status of a case entry results in a "PASS", the control is automatically transferred to the next available row. If there is a "N" entry in one or more than one question of a complete case and the total points for that case is less than 80 after

all questions for that case are answered, the entry results in a “FAIL” and the Failure Comments Window will be displayed for the first three cases meeting those conditions. The user will be prompted to input comments for that case failure.

GENERAL COMMENTS WINDOW

STAMP OPTION

On the general comments window, the “Stamp” option under the “Options” menu facilitates quick entry of sample cases. On selecting the “Stamp” option, the entire row is filled with the affirmative responses for the case and control is transferred to the next row. For the Field Audit , the following questions will be “stamped” with the following responses:

(1) Question Pass/Fail - “Y”
(2) Question 1 - “Y”
(3) Question 2 - “Y”
(4) Question 3 - “Y”
(5) Question 4 - “Y”
(6) Question 5 - “Y”
(7) Question 6 - “Y”
(8) Question 7 - “Y”
(9) Question 8 - “Y”
(10) Question 9 - “Y”
(11) Total Points - “100"

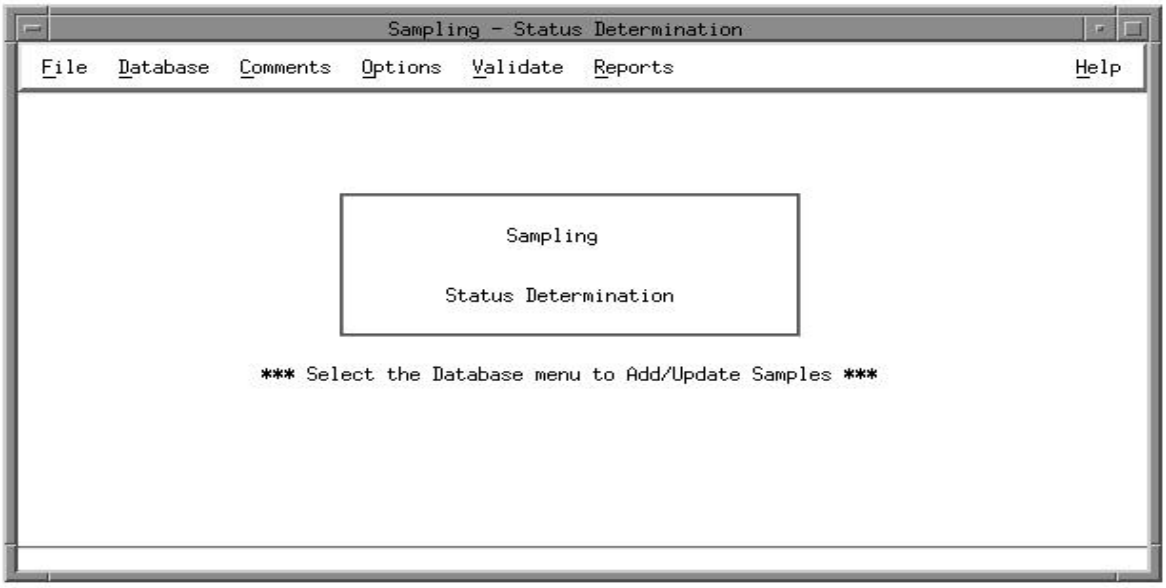
Using the “Stamp” option results in the “PASS” status for the case.

STATUS DETERMINATION

The data entry screen for the Status Determination Sample allows the input of only one sample record at a time (by employer type; new, successor, or inactivation/termination) in contrast to screens for other functions which accommodate the entry of ten cases. Since records are entered one at a time, the options "Next Record" and "Previous Record" are choices under the "Database" menu. The screen for status cases have both Accuracy and Posting sections, which necessitate additional options under the "Comments" and "Options" menus. (See additional options marked **.)

Given below is the main window for entering status determination samples.

MAIN WINDOW



The main window has the menu-bar with the following options: File, Database, Comments, Options, Validate, Reports and Help. The following are the options available under each option on the menu-bar.

File

Exit - to terminate the application.

Database comprised of

Add,
Query,
Update,
Save,
**Next Record, and
**Previous Record.

Comments comprised of

General Comments,

**Accuracy Failures comprised of
Failure 1
Failure 2
Failure 3

**Posting Failures comprised of
Failure 1
Failure 2
Failure 3

Other Failures.

Options comprised of

Stamp comprised of
**Accuracy
**Posting
Replace Case, and
Discard Sample.

Validate comprised of

Check for Errors

Reports comprised of

Generate

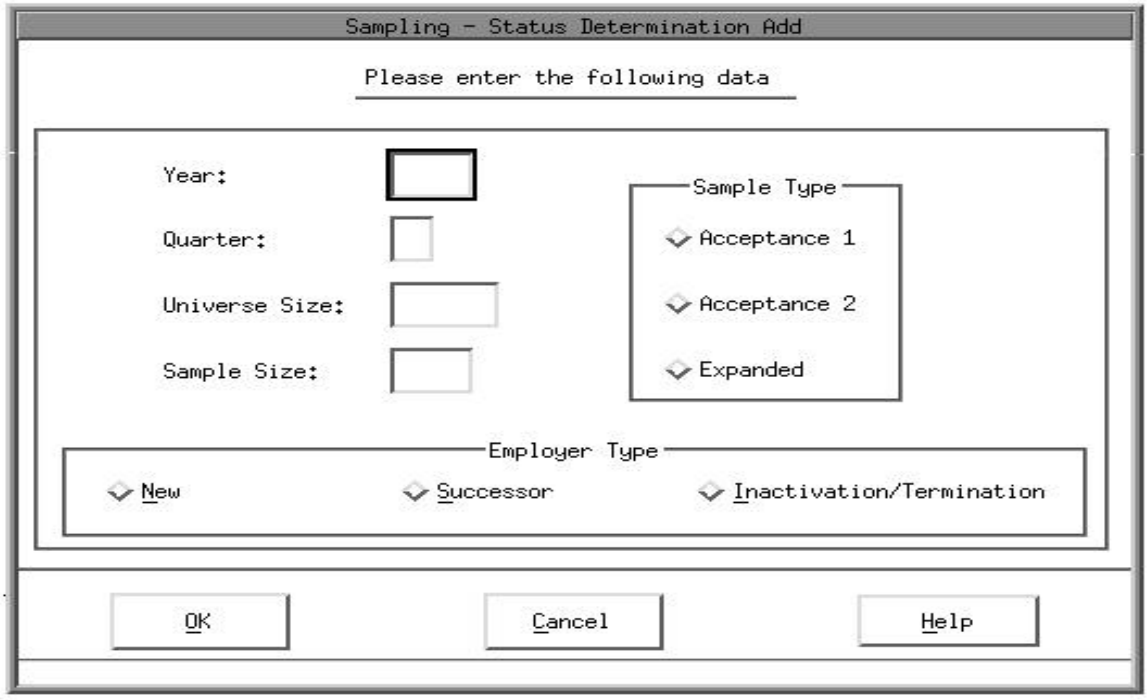
Help comprised of

Context-Sensitive Help,
Overview,
Keyboard,
Product Information, and
Widget Usage Help.

On selecting the “Database” option on the menu-bar of the main window, a pull-down menu is displayed. The options available are “Add”, “Query”, “Update” and “Save”.

On selecting the “Add” option, the Add Control Information window is displayed. Given below is a sample display of the Add Control Information window.

ADD CONTROL INFORMATION WINDOW



The Add Control Information window prompts for entry of the Year, Quarter, Sample Type, Universe Size, and Sample Size. All input is validated for accuracy.

Validation 1:
The validation criteria for Year field are:

1. The year field cannot be blank.
2. The year cannot be greater than system year.
3. The year cannot be less than 1996.
4. The year must be 4 digits.

Validation 2:
The validation criteria for quarter field are:

1. The quarter field cannot be blank.
2. The quarter should range from 1 to 4.
3. If current year is selected, the quarter cannot be greater than system quarter.

Validation 3:

The validation criteria for sample type field are:

1. The Sample Type cannot be blank.
2. Valid Sample Types are:
   - Acceptance Sample 1
   - Acceptance Sample 2
   - Expanded Sample
3. The Acceptance Sample 1 for the year selected must be discarded before choosing Acceptance Sample 2 for the same year.
4. The Acceptance Sample 2 for the year selected must be discarded before choosing Expanded Sample 2 for the same year.

Validation 4:

The validation criteria for the Universe Size field are:

1. The Universe Size cannot be blank or zero.
2. The Universe Size cannot be less than 10 and cannot be greater than 999999.

The Sample Size is calculated automatically by the software on valid entry of the Universe Size.

NOTE: If the sample size has been reduced due to rejecting cases that should not have been in the universe, the Regional Office must be advised so that this validation step may be bypassed. As explained in Chapter II, in the section on Acceptance Sampling, under such circumstances, the sample size can only drop down to a minimum of 53 cases.

Validation 5:
The Sample Size field is protected from input for the Acceptance Sample 1 & 2. However, the user will have the option of changing the Sample Size for an Expanded Sample.

The validation criteria for the Sample Size field are:

1. The Sample Size cannot be blank or zero.
2. The Sample Size cannot be greater than the Universe Size.

The application will display error messages if any input violates the validations. For example, if the Sample Type “Acceptance Sample 2" is selected and the “Acceptance Sample 1" for the same year is not yet discarded; the error message will display to warn the user about the discard status of “Acceptance Sample 1". Acknowledging the error by clicking “OK” passes focus back to “Acceptance Sample 1". Given below is a sample display of this error message.

Validation 6:
Employer Type cannot be blank. Valid values of Employer Type include “New”, “Successor” and “Inactivation/Termination”.

ERROR MESSAGE WINDOW

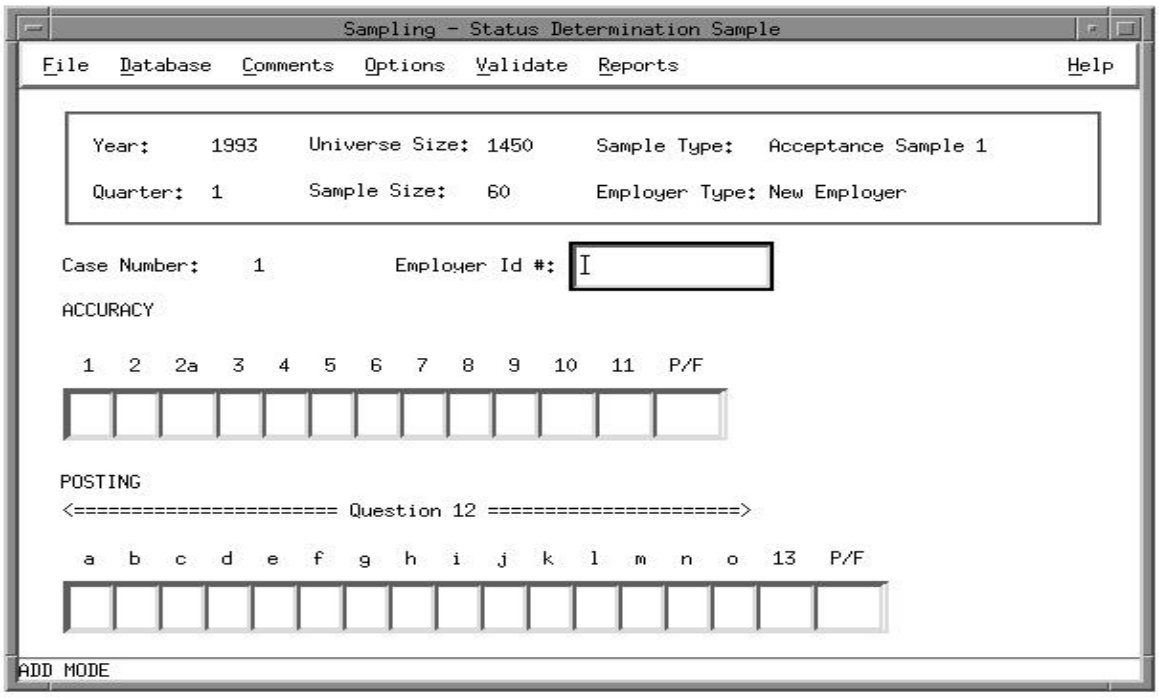
At the bottom of the Add Control Information window are three push-button options: “OK”, “Cancel”, and “Help”.

On selecting “Help” on this window, help messages related to the input are displayed.

On selecting “Cancel” control returns to the previous window displayed.

On selecting “OK”, all the validations described above are executed. If the user entered a combination of year, sample type which already exists in the database, a error message will be displayed and the user is requested to re-enter the input. However, if the input criteria is found valid the Sample Data Entry window is displayed. Given below is a sample display of the data entry window.

SAMPLE DATA ENTRY WINDOW



Sample records for Accuracy and Posting are added one at a time in the data entry window, unlike screens for other functions which allow input of records for ten cases. After entering a sample record, clicking on **"Database" / "Next Record"** or pressing <Ctrl-N>, a new data-entry window appears for the entry of the next sample record. (To review a sample record which has already been entered, click on **"Database"/ "Previous Record"**.) The input responses are based on questions from the Acceptance Sample questionnaire. The total number of times this window is displayed for entry will be equal to the Sample Size entered earlier. Depending on the responses entered for each question, the cursor will automatically shift to the associated/related questions. For Example: In the Status Determination - Accuracy questionnaire, if the response to

question 1 for a case is affirmative, the cursor skips question 2 and then shifts to question 3, 4 and so on.

Cases entered can be saved at any time by choosing the "Save" option on the "Database" menu. The "Pass/Fail" status is automatically calculated after entry of all questions for the Accuracy or the Posting questionnaire for the case. If the status of a Accuracy case entry results in a "PASS", the control is automatically transferred to the Posting case entry row. If the status of a case entry results in a "FAIL", the Failure Comments Window will be displayed and the user will be prompted to input comments for case failure. The Failure Comments Window will be displayed for only the first three failures (three each for Accuracy and Posting).

STAMP OPTION

The "Stamp - Accuracy" and "Stamp - Posting" options under the "Options" menu of the main window facilitates quick entry of sample cases. On selecting the "Stamp - Accuracy" or "Stamp - Posting" option, the entire row is filled with the affirmative responses for the case and control is transferred to the Posting row. For Status Determination, all the questions will be "stamped" with the response "Y":

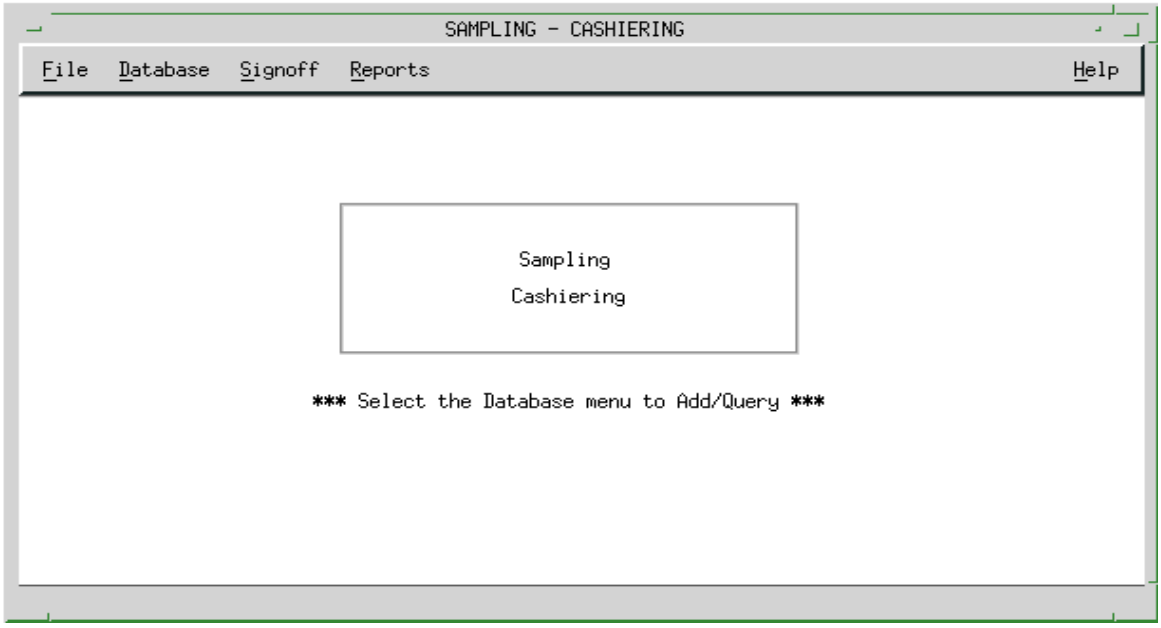
Using the "Stamp" option results in the "PASS" status for the case.

CASHIERING - ESTIMATION SAMPLE

For the Cashiering Estimation Sample, the inputs are the summary of the contribution payments received, and the percentage for timeliness and amounts deposited as calculated by the TPS reviewer based on the instructions given in the Core TAX PERFORMANCE SYSTEM Operations Handbook. The formats of data entry screens are similar to those of the Cashiering Summary Sheet in the Handbook. The same set of screens may also be used for modifying existing information.

Given below is the Cashiering main window.

MAIN WINDOW



The main window has the menubar with the following options: File, Database, Signoff, Reports and Help. The following are the options under each menubar option:

File comprised of Exit.

Database comprised of Add, Query, Update, and Save.

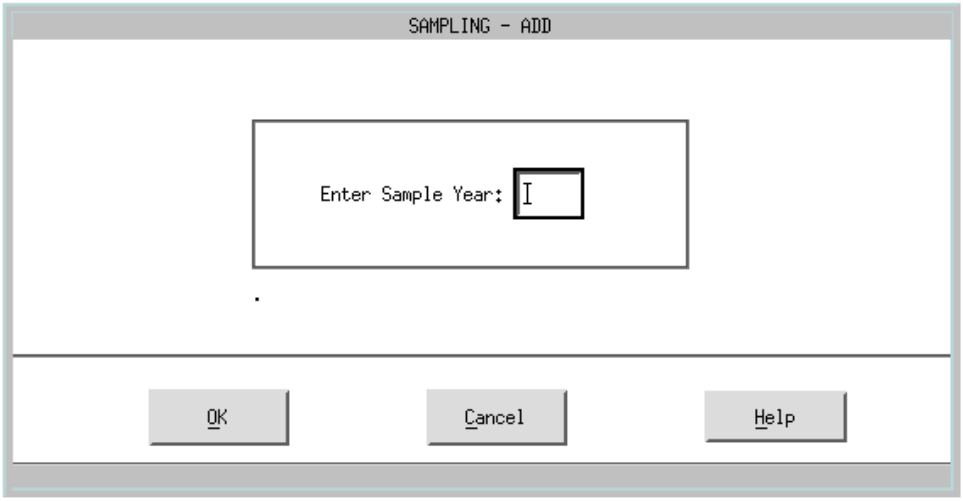
Signoff comprised of Signoff.

Reports comprised of Generate.

Help comprised of Context-Sensitive Help, Overview, Keyboard, Product Information and Widget Usage Help.

On selecting the **"Database"** option on the menubar, a pull-down menu is displayed. The options available are **"Add"**, **"Query"**, **"Update"**, and **"Save"**. If the **"Add"** menu item from **"Database"** option of the menubar is chosen, the Add- query window to enter the parameter year is displayed. Three pushbuttons are displayed at the bottom of the window: **"OK"**, **"Cancel"** and **"Help"**. Given below is the screen display of the Add-query window.

ADD-QUERY WINDOW



Validation edits

on the Add-query window parameter "Year" are:

(1) Year cannot be NULL
(2) Year cannot be greater than current year where the current year is system year.
(3) Year cannot be less than 1996.

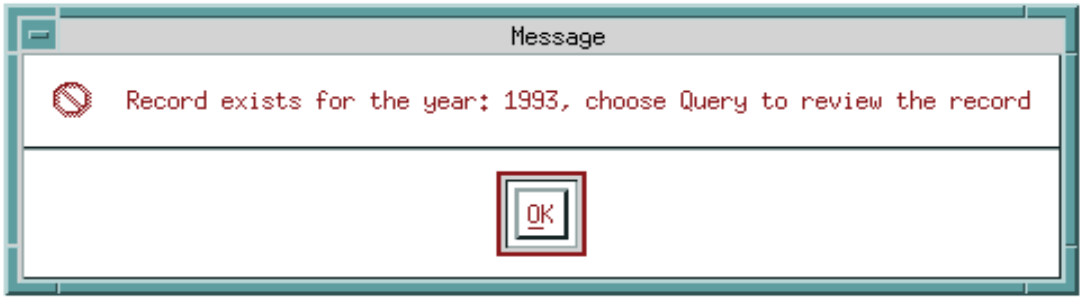
If any of the above validations fail, an appropriate error message is displayed and the focus returns to the "Year" field.

On entering a valid year, the control automatically passes to the **"OK"** pushbutton. Choosing the **"Cancel"** pushbutton takes control back to the main window. **"Help"** pushbutton can be chosen for help messages related to the Add-query window.

On selecting the **"OK"** pushbutton on the Add-query window, the program checks for the validity of the Add parameters.

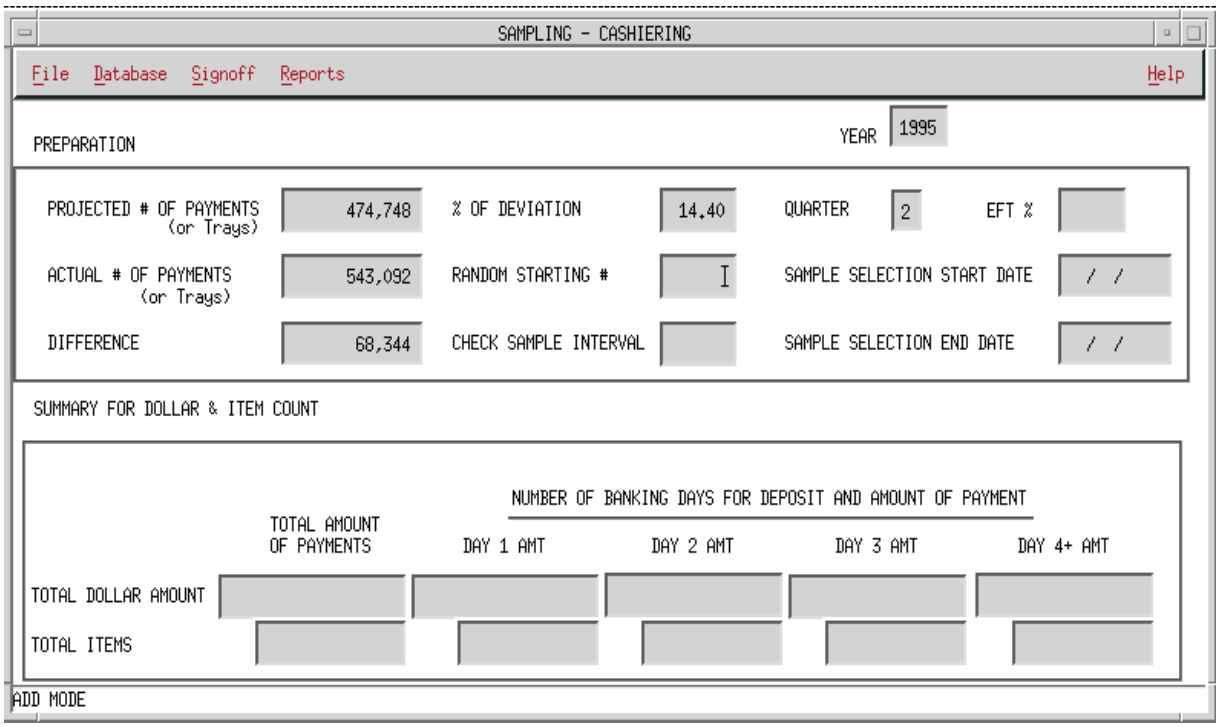
If a sample year entered on the Add-query window already exists in the database the following message appears.

MESSAGE WINDOW



If a valid year for the Sample is entered, the Sample screen is displayed for input as shown below:

MAIN WINDOW - ADD MODE



Options available under the **"Database"** menu option are as follows:

(1) **"Add"** a new record.

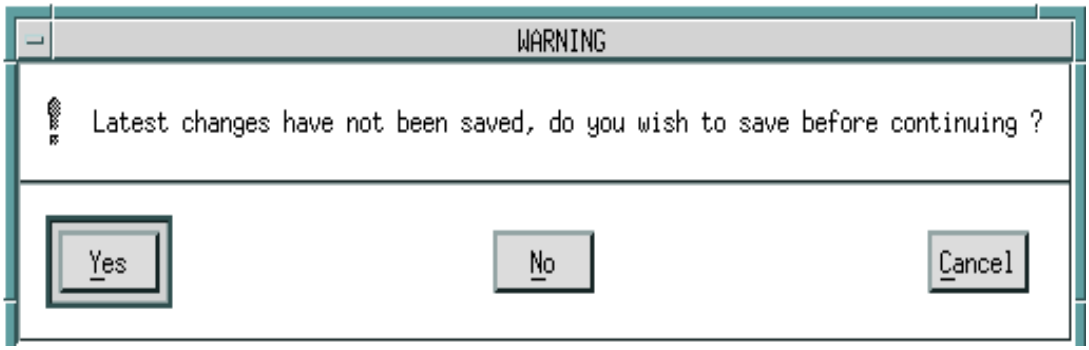
(2) **"Query"** for a record for a different year.

(3) **"Update"** to update the record retrieved

If the **"Update"** menu item from the **"Database"** option is chosen, the cursor moves to the first field in the screen displayed. Context-Sensitive help is available in this mode only. On clicking on the **"Help"** option on the menubar and selecting **"Context-Sensitive Help"**, help messages relating to the field in focus are displayed.

If a data entry field is modified and the user chooses to select an option under any menu options which are active (other than "Save") a warning message is displayed.

WARNING MESSAGE WINDOW



Yes - Save the record after validating all input information.

No - Does not save the record and proceed with operation selected. Any data fields modified will be reset to the previous values.

Cancel - Returns to the screen modified

The validation checks for the Sample record are similar to the checks in the **"Update"** mode. By default, the Quarter field is preset to a value of 2 whether the user is in **"Update"** or **"Add"** mode.

Validation edits for Adding\Updating the record on the main screen are as follows:

Validation 1:

Year
- cannot be NULL
- Year cannot be greater than current year
  where the current year is system year.
- Year cannot be less than 1996.

Validation 2:

Quarter
- cannot be NULL
- default value of 2, refer to TPS Handbook, ESTIMATION SAMPLING INSTRUCTIONS for Cashiering.

Validation 3:

Projected number of payments or trays (the UNIVERSE of payments or trays for the 5-day period from which the sample was pulled, not the desired sample size of 500 items)
- cannot be NULL
- cannot be zero
- Range of values: 0 - 2,147,483,647

Validation 4:

Actual number of payments or trays
- cannot be NULL
- Range of values: 0 - 2,147,483,647

Validation 5:

Random Starting number
- Range of values: 0 - 32,767

Validation 6:

Check Sample Interval
- Range of values: 0 - 32,767

Validation 7:

Electronic Fund Transfer
- cannot be NULL
Range of values: 00.00 - 99.99

Validation 8:

Sample Selection Start Date
- cannot be NULL
- format: MM/DD/YYYY

- if Quarter = 2, then Sample Selection Start Date
must be >= 06/30/XXXX*, and <= 09/01/XXXX.

- if Quarter = 3, then Sample Selection Start Date
must be >= 09/30/XXXX, and <= 12/01/XXXX.

- if Quarter = 4, then Sample Selection Start Date
must be >= 12/31/XXXX, and <= 03/01/XXXX + 1**.

- if Quarter = 1 then Sample Selection Start Date
must be >= 03/31/XXXX, and <= 06/01/XXXX.

* - XXXX, is the Sample Year.
** - XXXX + 1, is the Sample Year + 1
(eg., if Sample Year is 2000, the previous Sample Year, plus 1 is equal to 2001) giving the maximum Sample Selection Start Date for Quarter = 4.

- Sample Selection End Date >= Sample Selection Start Date.

Validation 9:

Sample Selection End Date
- cannot be NULL
- format: MM/DD/YYYY

- if Quarter = 2, then Sample Selection End Date
must be >= 06/30/XXXX*, and <= 09/01/XXXX.

- if Quarter = 3, then Sample Selection End Date
must be >= 09/30/XXXX, and <= 12/01/XXXX.

- if Quarter = 4, then Sample Selection End Date
must be >= 12/31/XXXX, and <= 03/01/XXXX + 1**.

- if Quarter = 1 then Sample Selection End Date
must be >= 03/31/XXXX, and <= 06/01/XXXX.

* - XXXX, us the Sample Year.
** - XXXX + 1, is the Sample Year + 1
(eg., if Sample Year is 2000, the previous Sample Year, plus 1 is equal to 2001) giving the maximum Sample Selection End Date for Quarter = 4.

- Sample Selection End Date >= Sample Selection Start Date.

Validation 10:

Dollar Amount (Day 1) for Deposit
- cannot be NULL
- Range of values: 0.00 - 9,999,999,999.99

Validation 11:

Dollar Amount (Day 2) for Deposit
- cannot be NULL
- Range of values: 0.00 - 9,999,999,999.99

Validation 12:

Dollar Amount (Day 3) for Deposit
- cannot be NULL
- Range of values: 0.00 - 9,999,999,999.99

Validation 13:

Dollar Amount (Day 4) for Deposit
- cannot be NULL
- Range of values: 0.00 - 9,999,999,999.99

Validation 14:

Items for Deposit (Day 1)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

Validation 15:

Items for Deposit (Day 2)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

Validation 16:

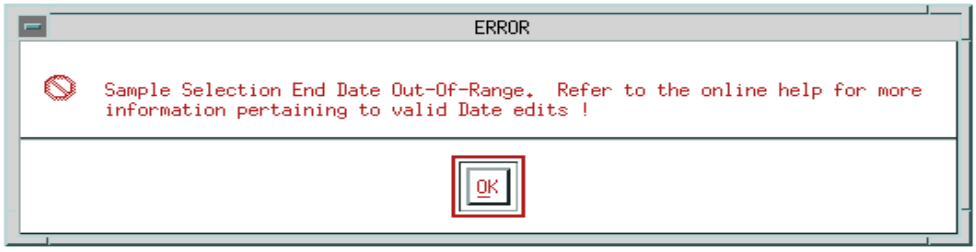
Items for Deposit (Day 3)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

Validation 17:

Items for Deposit (Day 4)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

If any of the above validations fail, an appropriate error message is displayed. For example, Validation edit number-9 would display the error message shown below, if the user types in an End Date that is not consistent with the Quarter entered.

ERROR MESSAGE WINDOW



OK - Closes the error message window, and returns the cursor to the Sample Selection End Date field.

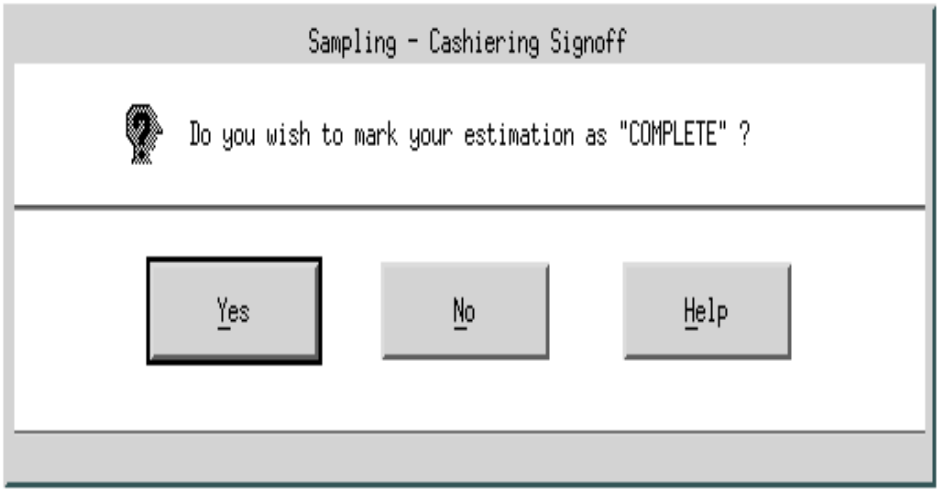
Other Validations:

All data entry fields in the Cashiering Sampling screen must be completed, with the exception of the Random Starting number, and Check Sample Interval. Once the user chooses the **"Save"** option from the **"Database"** menu item, this will update the record

to the database after validations are accomplished. If the **"Save"** option is chosen, during validations if any incorrect input is encountered, error messages will be displayed and the focus will be on the field in error. Once the validations are accomplished, the record is then written to the database. A message will be displayed on the status line to indicate that the record was successfully updated. However, during the **"Update"** process, if changes are made to a particular field of the Sample screen, any active menu items under **"File"**, **"Database"**, or **"Reports"** options can be chosen. If any of these options are chosen, a warning message that the updated record has not been saved will be issued and the user will now have the options to **"Save"** the record, continue with the menu item process chosen or return to the **"Update"** mode.

If the **"Signoff"** menu item from the **"Signoff"** option is chosen, a message is displayed as shown below.

MESSAGE WINDOW - SIGNOFF FOR COMPLETION



The **"Signoff"** option is available only during Add/Query, or Update mode. Regardless of the mode chosen, the user has the option to stamp the Sample record as "COMPLETE".

If the user chooses not to Signoff on the record, other options include, returning the user to the update/add session, or requesting help from the Signoff Window. Furthermore, a validation stamp indicating "** INCOMPLETE **" will be shown on the Database Display report.

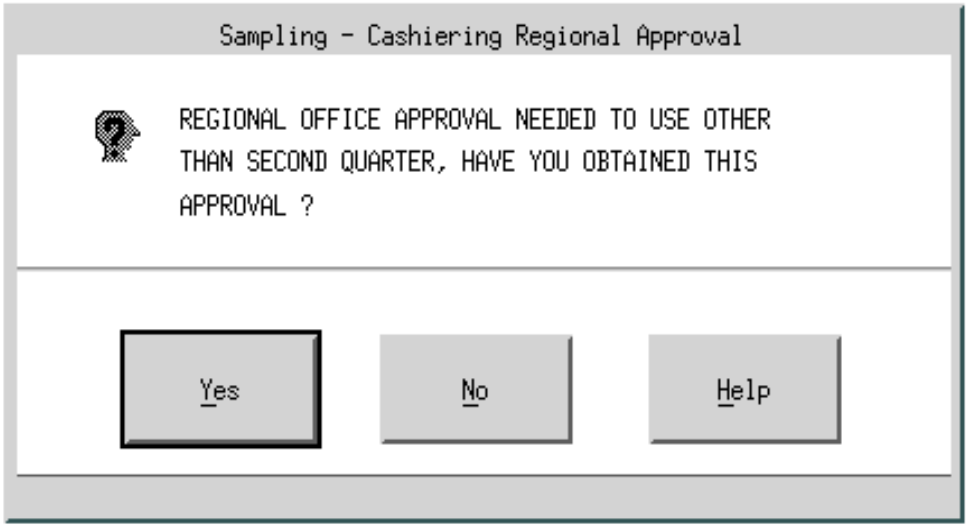
If the user chooses to Signoff on a record, and no errors are encountered after selecting the **"Signoff"** option, the validation stamp, in this case, will now indicate "** COMPLETE **" on the Database Display report. At this point, the user can only access the sample record through the **"Report"** menu option.

If the user enters a sample year that already exists in the database, but has been Signed-Off, a message is displayed.

MESSAGE WINDOW

If the user chooses to change the Quarter field, a message window will be displayed as shown below.

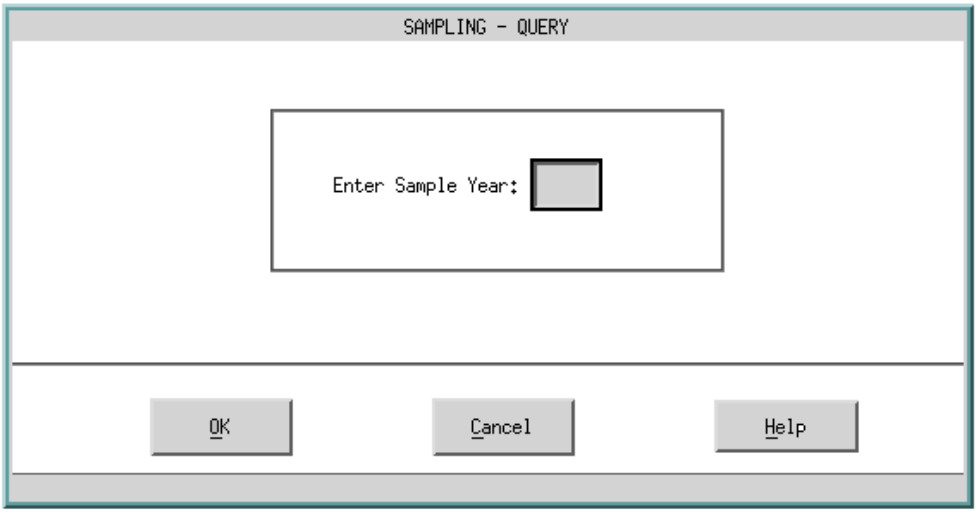
MESSAGE WINDOW - REGIONAL APPROVAL



If the user obtains Regional Office approval to change the Quarter field, then the **"YES"** pushbutton can be selected, otherwise, the user must select the **"NO"** pushbutton. The **"Help"** pushbutton is also available for information pertaining to this window.

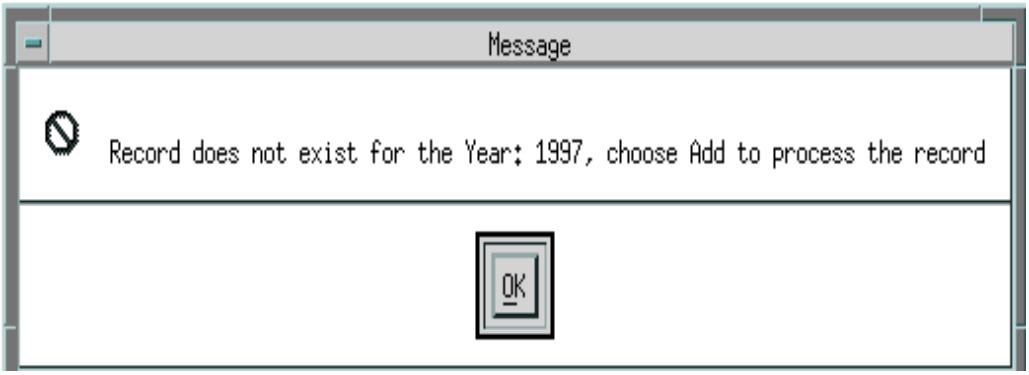
If the **"Query"** menu item from **"Database"** option of the menubar is chosen, the query window similar to the one when the user choose the **"Add"** option as shown above is displayed. Edits on the this query window are similar to the edits discussed previously.

QUERY WINDOW



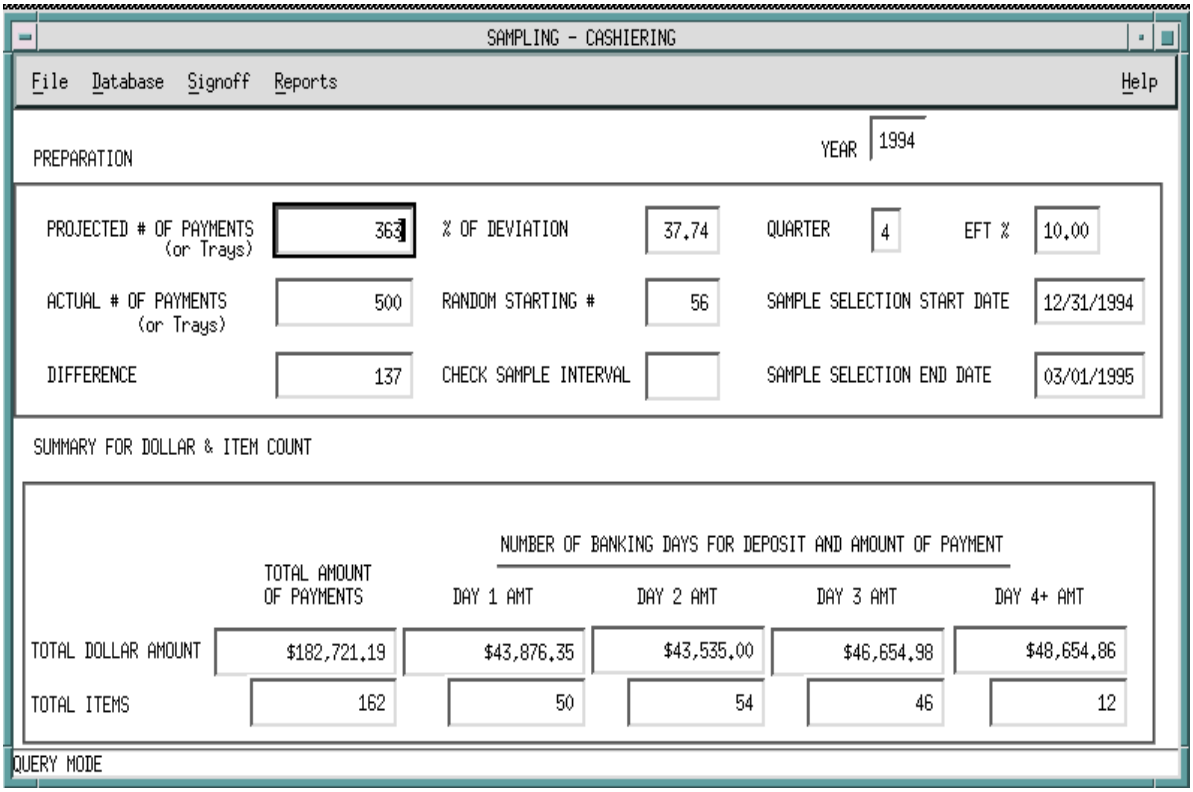
If the selected year is a valid current year, the program checks to ensure that the user can access the sample record requested. If no record is found for the year requested, the following message is displayed.

MESSAGE WINDOW


Message
Record does not exist for the Year: 1997, choose Add to process the record
OK

If the record is found, the main screen shown below is displayed.

MAIN SCREEN - QUERY MODE



REPORT GENERATION

If the **"Generate Reports"** menu item from the **"Reports"** option is chosen, the Reports Selection window is displayed. Six pushbuttons are displayed at the bottom of the window : **"Generate"**, **"PreView"**, **"Print"**, **"Save As"**, **"Cancel"** and **"Help"**. Four pushbuttons **"Generate"**, **"PreView"**, **"Print"** and **"Save As"** will be inactive and will be activated when required during the report generation process. Given below is the screen display of the Reports Selection window.

REPORT SELECTION WINDOW

The listbox on the Reports Selection window displays the list of reports that can be generated by this module.

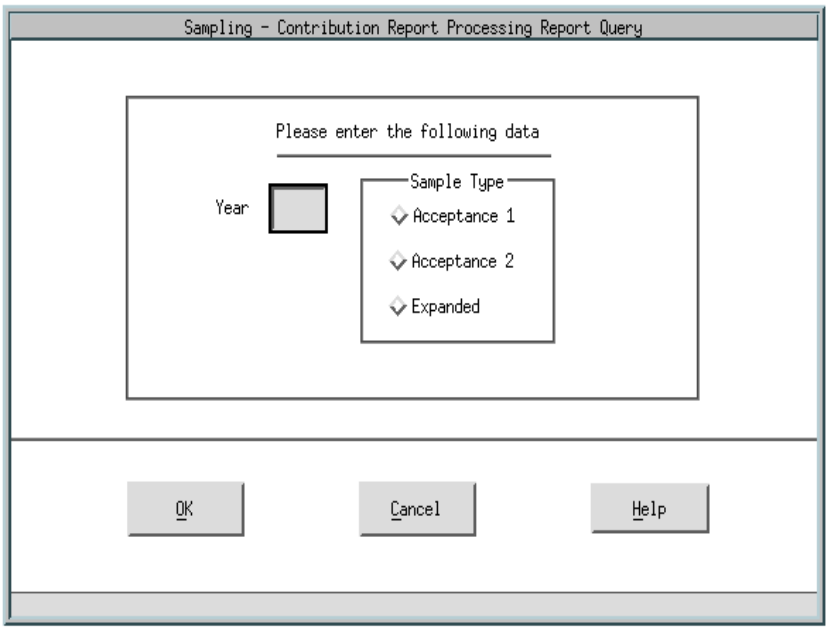
The reports include:

(1) Database Display

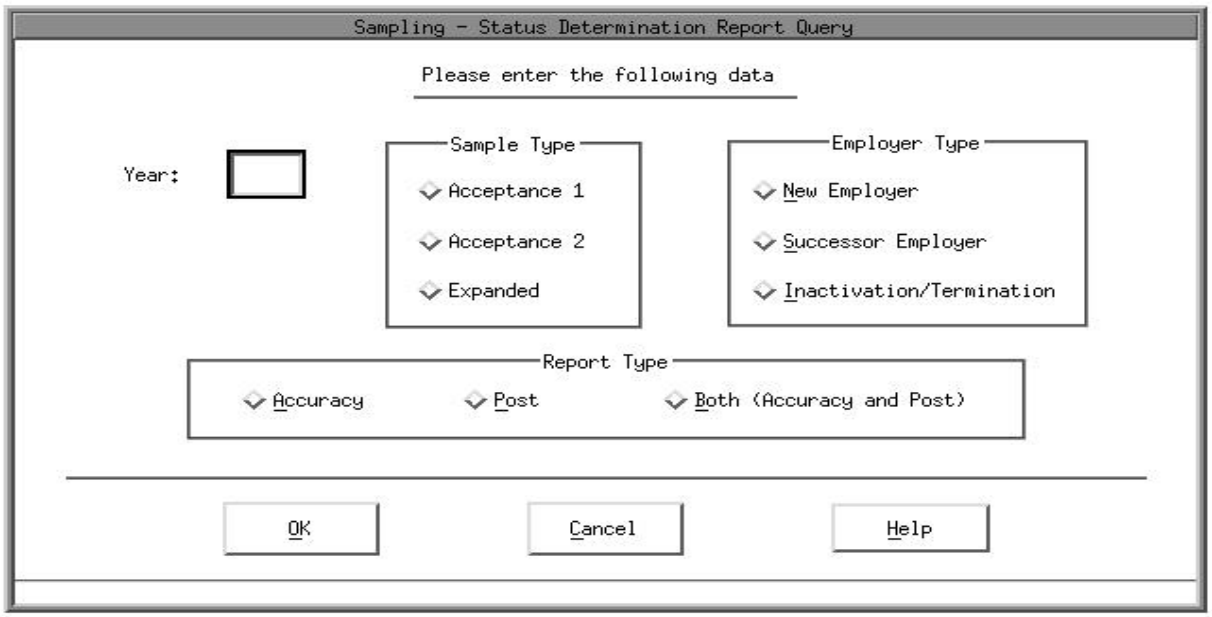
If the above report is selected, the selected report name appears in the Selection window. The **"Generate"** pushbutton will be active at this time.

If the Report Selection is made and the **"Generate"** pushbutton is selected, the Report Query Window prompting for parameters "Year" and "Sample Type" is displayed. The validations on Year and Sample Type on this Report Query Window are similar to the validations described in the data entry section.

REPORT QUERY WINDOW



REPORT QUERY WINDOW - STATUS DETERMINATION



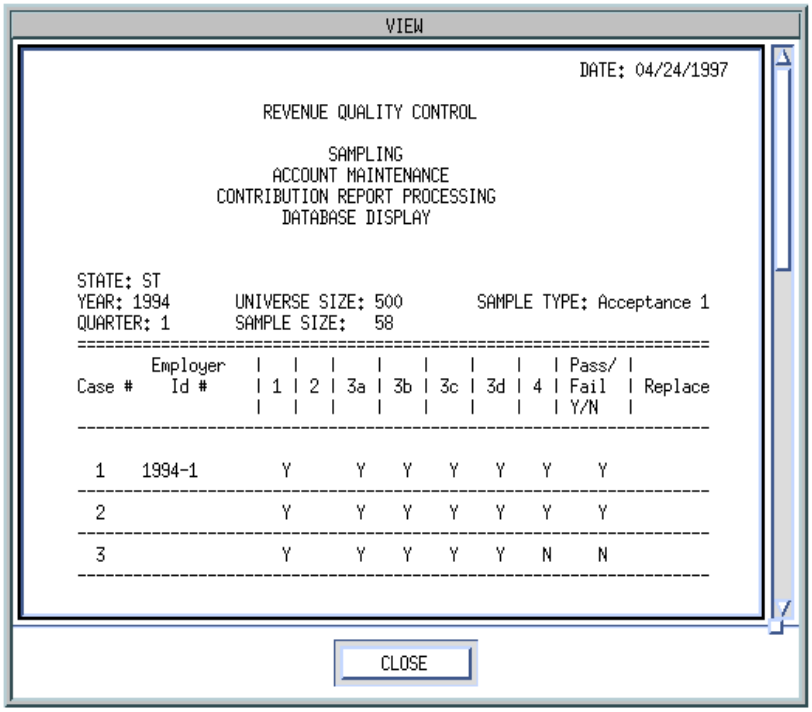
In addition to options for Sample Type, the report query window for Status Determination includes options for Employer Type (new, successor, inactivation/termination) and Report Type (accuracy, posting, both).

On entering valid parameters, the query window closes and the processing message "Report Generation in Progress ... Please Wait" is displayed. Once Report Generation is complete, the pushbuttons **"PreView"**, **"Print"** and **"Save As"** are active.

On selecting **"PreView"**, the report is displayed on a view window. Pressing the **"CLOSE"** button on the view window closes the window and control returns to the Report Selection window. Refer to the Program Specification Document XView utility for JAM applications submitted by TAX PERFORMANCE SYSTEM.

Following is an example of a report generated by this application in a View Window.

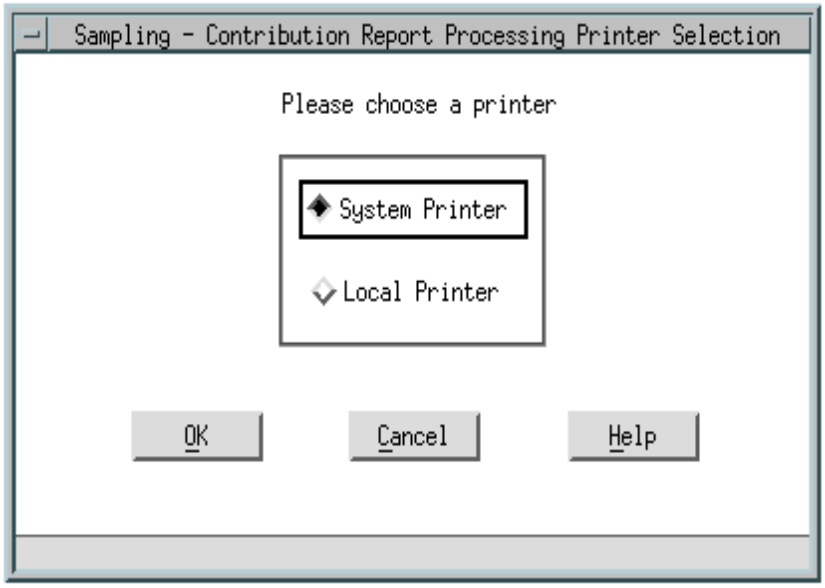
VIEW WINDOW



On selecting **"Print"**, the printer selection window is displayed. Options available are **"System Printer"** and **"Local Printer"**. Three pushbuttons are displayed at the bottom of this window: **"OK"**, **"Cancel"** and **"Help"**. If **"Cancel"** is chosen, control returns to the Reports Selection window. If **"Help"** is chosen, help messages are displayed related to the

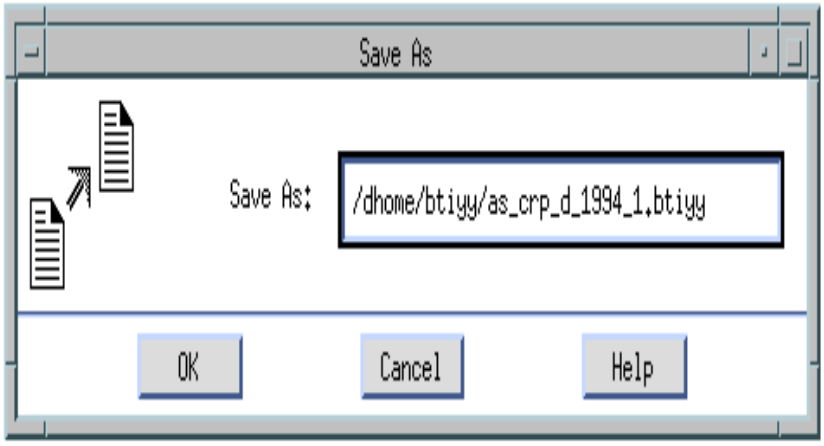
printer selection window. If **"OK"** is chosen, the printer selection window closes, report is printed on the printer selected and control returns to the Reports selection window. Given below is the screen display of the printer selection window.

PRINTER SELECTION WINDOW



On selecting **"Save As"**, the Save As window is displayed.

SAVE AS WINDOW



Three pushbuttons are displayed at the bottom of this window: **"OK"**, **"Cancel"** and **"Help"**. If **"Cancel"** is chosen, control returns to the Reports Selection window. If **"Help"** is chosen, help messages are displayed related to the printer selection window. If **"OK"** is chosen, the

default report name and path is used and the file saved in the default directory. If the default filename or path is modified by the user, then the input gets validated. Refer to the Program Specification Document SETUID BQC Move File submitted by Benefits Quality Control for Release 5.0. The default filenames generated by the system for each report selection are given below.

Report Selection	Default filename
Database Display	as_crp_d_Year_SampleType.login_id Ex: as_crp_d_1990_1.timmsr

On selecting **"Cancel"** on the Reports Selection window, the Report Selection window closes and control returns to the main window.

On selecting **"Help"** on the Reports Selection Window, help messages related to Report Selection window are displayed.

USING HELP

If the **"Context-Sensitive Help"** menu item is chosen from the **"Help"** option on the menubar, a help window with messages related to the field on focus is displayed. On choosing the **"CLOSE"** pushbutton on the help window, control returns to the main window. This menu item is active only if **"Add" or "Update"** menu item is chosen under the **"Database"** option.

If the **"Overview"** menu item is chosen from the **"Help"** option on the menubar, a help window with an overview of the subsystem is displayed. On choosing the **"CLOSE"** pushbutton on the help window returns control to the main window.

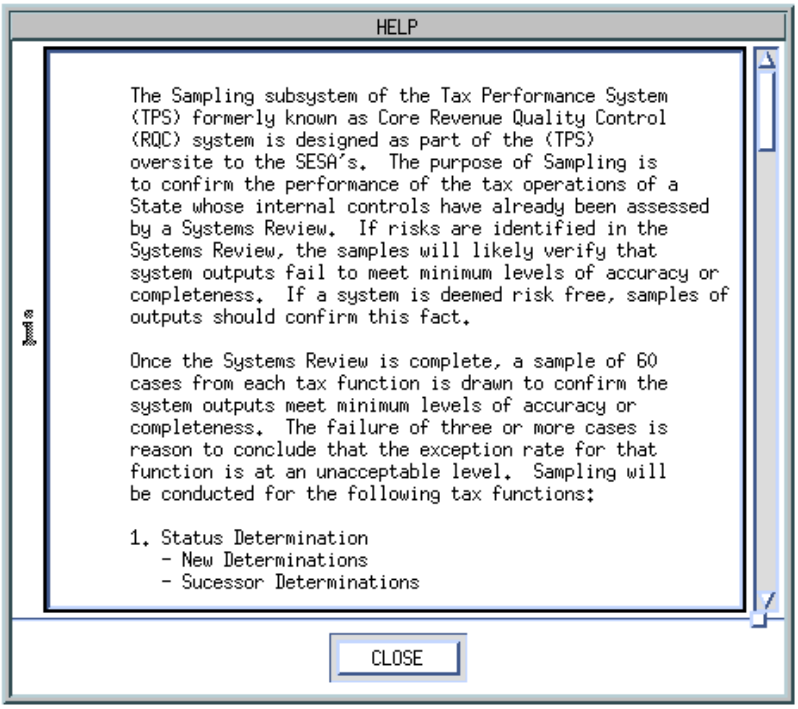
If the **"Keyboard"** menu item is chosen from the **"Help"** option on the menubar, a help window with keyboard operation procedures for the module is displayed. On choosing the **"CLOSE"** pushbutton on the help window returns control to the main window.

If the **"Product Information"** menu item is chosen from the **"Help"** option on the menubar, a help window with product release information for the module is displayed. On choosing the **"CLOSE"** pushbutton on the help window returns control to the main window.

If the **"Widget Usage Help"** menu item is chosen from the **"Help"** option on the menubar, a help window with messages related to the widget on focus is displayed. On choosing the **"CLOSE"** pushbutton on the help window returns control to the main window. This menu item is active only if **"Add" or "Update"** menu item is chosen under the **"Database"** option.

Given below is the screen display of a typical help window. Refer to the Program Specification Document XHelp utility for JAM applications submitted by TAX PERFORMANCE SYSTEM.

HELP WINDOW



OUTPUTS

The outputs generated by the Sampling subsystem are: the database display reports which are replicas of the data entry screens. The Error Report is generated when the "Validate/Check_for_Errors" was chosen. Failed validations required under the "Check_for_Errors" function, trigger of error messages in this Error report output.

Examples of outputs are provided on the following pages.

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

Case #	Employer Id #	1	2	3a	3b	3c	3d	4	Pass/ Fail Y/N	Replace
1	1994-1	N	N						N	
2		Y		Y	Y	Y	Y	Y	Y	
3		Y		Y	Y	Y	Y	Y	Y	
4		Y		Y	Y	Y	Y	Y	Y	
5		Y		Y	Y	Y	Y	Y	Y	
6		Y		Y	Y	Y	Y	Y	Y	
7		Y		Y	Y	Y	Y	Y	Y	
8		Y		Y	Y	Y	Y	Y	Y	
9		Y		Y	Y	Y	Y	Y	Y	
10		Y		Y	Y	Y	Y	Y	Y	
11		Y		Y	Y	Y	Y	Y	Y	
12		Y		Y	Y	Y	Y	Y	Y	
13		Y		Y	Y	Y	Y	Y	Y	
14		Y		Y	Y	Y	Y	Y	Y	
15		Y		Y	Y	Y	Y	Y	Y	
16		Y		Y	Y	Y	Y	Y	Y	
17	*	*	*	*	*	*	*	*	Y	*R*
18		N	N						N	
19		Y		Y	Y	Y	Y	Y	Y	
20		Y		Y	Y	Y	Y	Y	Y	

Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative
R - indicates Case Replacement.

1

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

Case #	Employer Id #	1	2	3a	3b	3c	3d	4	Pass/ Fail Y/N	Replace
21		Y	Y	Y	Y	Y	Y	Y		
22		Y	Y	Y	Y	Y	Y	Y		
23		Y	Y	Y	Y	Y	Y	Y		
24		Y	Y	Y	Y	Y	Y	Y		
25		Y	Y	Y	Y	Y	Y	Y		
26		Y	Y	Y	Y	Y	Y	Y		
27		Y	Y	Y	Y	Y	Y	Y		
28		Y	Y	Y	Y	Y	Y	Y		
29		Y	Y	Y	Y	Y	Y	Y		
30		Y	Y	Y	Y	Y	Y	Y		
31		Y	Y	Y	Y	Y	Y	Y		
32		Y	Y	Y	Y	Y	Y	Y		
33		Y	Y	Y	Y	Y	Y	Y		
34		Y	Y	Y	Y	Y	Y	Y		
35		Y	Y	Y	Y	Y	Y	Y		
36		Y	Y	Y	Y	Y	Y	Y		
37		Y	Y	Y	Y	Y	Y	Y		
38		Y	Y	Y	Y	Y	Y	Y		
39		Y	Y	Y	Y	Y	Y	Y		
40		Y	Y	Y	Y	Y	Y	Y		

Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative
R - indicates Case Replacement.

2

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

Case #	Employer Id #	1	2	3a	3b	3c	3d	4	Pass/ Fail Y/N	Replace
41		Y	Y	Y	Y	Y	Y	Y		
42		Y	Y	Y	Y	Y	Y	Y		
43		Y	Y	Y	Y	Y	Y	Y		
44		Y	Y	Y	Y	Y	Y	Y		
45		Y	Y	Y	Y	Y	Y	Y		
46		Y	Y	Y	Y	Y	Y	Y		
47		Y	Y	Y	Y	Y	Y	Y		
48		Y	Y	Y	Y	Y	Y	Y		
49		Y	Y	Y	Y	Y	Y	Y		
50		Y	Y	Y	Y	Y	Y	Y		
51		Y	Y	Y	Y	Y	Y	Y		
52		Y	Y	Y	Y	Y	Y	Y		
53		Y	Y	Y	Y	Y	Y	Y		
54		Y	Y	Y	Y	Y	Y	Y		
55		Y	Y	Y	Y	Y	Y	Y		
56		Y	Y	Y	Y	Y	Y	Y		
57		Y	Y	Y	Y	Y	Y	Y		
58		Y	Y	Y	Y	Y	Y	Y		

Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative

R - indicates Case Replacement.

3

```
                                                        DATE: 03/11/1997

                    TAX PERFORMANCE SYSTEM

                           SAMPLING
                       ACCOUNT MAINTENANCE
                  CONTRIBUTION REPORT PROCESSING
                         DATABASE DISPLAY


STATE: ST
YEAR: 1994       UNIVERSE SIZE: 500        SAMPLE TYPE: Acceptance 1
QUARTER: 1       SAMPLE SIZE:   58
-------------------------------------------------------------------

Comments for failed cases :


Case # : 1          Employer # : 1994-1
===================================================================
Case 1 has failed. Emp Id # 1994-1.

Case # : 18          Employer # :
===================================================================
Case # 18 has failed.  Employer was delinquent in reporting.
Investigation is in progress.
```

DATA ENTRY USERS GUIDE

SAMPLING **OUTPUTS**

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

General Comments:

Universe Size = 500; Sample Size was selected automatically by the system. National Office has setup a Sample Size range table which has the input Universe Size and Sample Size values.

5

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

Additional Failed Comments:

Two cases have failed the sample. However, the state has passed the sample. One case was replaced due to lack of employer information. Case # 59 is the replacement case.

6

DATE: 03/11/1997

TAX PERFORMANCE SYSTEM
SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
ERROR FILE

STATE: ST
YEAR: 1995 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58
==========

Number of cases recorded does not match entered sample size.

Case 15: is an incomplete case
Case 23: is an incomplete case

Comments for case failure not recorded properly. Comments must be entered for the first three(3) failed cases.

Database Display - Field Audit

DATE: 08/06/1997

TAX PERFORMANCE SYSTEM

SAMPLING
FIELD AUDIT
DATABASE DISPLAY

STATE: ST
YEAR: 1994 UNIVERSE SIZE: 500 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 58

Case #	Employer Id #	Pass/ Fail Y/N	1	2	3	4	5	6	7	8	9	Total Points	Replace
1	1994 - 1	N										0	
2	1994 - 2	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
3	1994 - 3	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
4		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
5		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
6		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
7		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
8		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
9		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
10		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
11		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
12		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
13		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
14		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
15		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
16		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	

17	*	*	*	*	*	*	*	*	*	*	*	*	*R*
18		Y	Y	Y	Y	N	Y	Y	Y	Y	N	65	
19		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	
20		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	100	

Questions P/F, 1, 2, 3, 4, 5, 6, 7, 8 and 9 are evaluative.

R - indicates Case Replacement.

1

Database Display - Status Determination (Note separate reports for Accuracy and Posting)

DATE: 06/12/1997

TAX PERFORMANCE SYSTEM

SAMPLING
STATUS DETERMINATION
DATABASE DISPLAY

STATE: ST
YEAR: 1993 UNIVERSE SIZE: 15 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 15 EMPLOYER TYPE: New

Case #	Employer Id #	1	2	2a	3	4	5	6	7	8	9	10	11	P/F Y/N	Rep
*** ACCURACY ***															
1		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
2	1234	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	N	
3	3456	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	N	
4		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
5		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
6		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
7		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
8		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
9		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
10		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
11		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
12		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
13		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
14		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
15		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	

Questions 2a, 3, 5, 6, 7, 10, and 11 are evaluative
R - indicates Case Replacement. 1

```
                                                          DATE: 06/12/1997

                          TAX PERFORMANCE SYSTEM

                                 SAMPLING
                            STATUS DETERMINATION
                              DATABASE DISPLAY


STATE:   ST
YEAR:    1993   UNIVERSE SIZE: 15     SAMPLE TYPE:   Acceptance 1
QUARTER: 1      SAMPLE SIZE:   15     EMPLOYER TYPE: New
================================================================================

   *** ACCURACY *** Comments for failed cases :


   Case # : 2          Employer # : 1234
--------------------------------------------------------------------------------
    Case # 2 has failed due to lack of information of the employer.

   Case # : 3          Employer # : 3456
--------------------------------------------------------------------------------
    Case # 3 has also failed due to lack of information of the
    employer.
```

DATE: 06/12/1997

TAX PERFORMANCE SYSTEM

SAMPLING
STATUS DETERMINATION
DATABASE DISPLAY

STATE: ST
YEAR: 1993 UNIVERSE SIZE: 15 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 15 EMPLOYER TYPE: New

Case #	Employer Id #	12a	12b	12c	12d	12e	12f	12g	12h	12i	12j	12k	12l	12m	12n	12o	13	P/F Y/N	Rep
*** POSTING ***																			
1		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
2	1234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
3	3456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
4		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
5		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
6		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
7		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
8		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
9		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
10		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
11		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
12		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
13		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
14		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
15		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		

Question 13 is evaluative
R - indicates Case Replacement.

3

Database Display - Cashiering

```
                                                        DATE: 05/01/1997

                      TAX PERFORMANCE SYSTEM

                            SAMPLING                    **INCOMPLETE**
                          CASHIERING
                       DATABASE DISPLAY


     STATE: ST
     REQUESTED YEAR: 1996
     ========================================================================

     Part - I - PREPARATION
     ======================

     Projected number of payments or trays:         2,000
     Actual number of payments or trays:            3,210
     Difference:          1,210
     % of deviation:  60.50
     Check sample interval:       30
     Random starting number:    234
     Quarter Reviewed: 2
     EFT %: 06.00
     Sample Selection Start Date: 07/20/1996
     Sample Selection End Date:   07/24/1996

     ------------------------------------------------------------------

     Parts - II & III - SUMMARY FOR DOLLARS, ITEMS COUNT & PERCENTAGES
     ================================================================

     ------------------------------------------------------------
     | 1 | Total Dollar Amount         |           $901,191.00 |
     |---|-----------------------------|-----------------------|
     | 2 | Total Items                 |                   200 |
     |---|-----------------------------|-----------------------|
     | 3 | Percentage By Category ($) |  100%                  |
     |---|-----------------------------|-----------------------|
     | 4 | Overall Percentage (Items) |  100%                  |
     ------------------------------------------------------------
```

SAMPLING **INCOMPLETE**
CASHIERING
DATABASE DISPLAY

STATE: ST
REQUESTED YEAR: 1996

ITEM-1: BREAKDOWN OF DOLLAR AMOUNTS

Number of Banking days for Deposit and Amount of Payment			
1-F. Day 1 Amount($)	1-G. Day 2 Amount($)	1-H. Day 3 Amount($)	1-I. Day 4+ Amount($)
150,439.00	150,000.00	345,876.00	254,876.00

ITEM-2: BREAKDOWN OF ITEM COUNTS

Number of Items for Deposit			
2-F. Day 1 Item	2-G. Day 2 Item	2-H. Day 3 Item	2-I. Day 4+ Item
50	50	50	50

ITEM-3: BREAKDOWN OF PERCENTAGE BY CATEGORY ($)

Percentage by Category ($)			
3-F. Day 1 %	3-G. Day 2 %	3-H. Day 3 %	3-I. Day 4+ %
16.69	16.64	38.38	28.28

ITEM-4: BREAKDOWN OF OVERALL PERCENTAGE (ITEMS)

Overall Percentage (Items)			
4-F. Day 1 %	4-G. Day 2 %	4-H. Day 3 %	4-I. Day 4+ %
25.00	25.00	25.00	25.00

2

DATE: 05/01/1997

TAX PERFORMANCE SYSTEM
SAMPLING **INCOMPLETE**
CASHIERING
DATABASE DISPLAY

STATE: ST
REQUESTED YEAR: 1996

Part - IV - SUMMARY RECAP

	Deposited ($)	Deposited (%)
5) 1 Day	150,439.00	16.69
6) 2 Day	150,000.00	16.64
7) 3 Day	345,876.00	38.38
8) SUBTOTAL	646,315.00	71.72
9) 4+Days	254,876.00	28.28
10) TOTALS	901,191.00	100.00

| Percentage Deposited Timely: 73.41 % |*

* Percentage value needed to pass (from the following chart) : 69.50
Calculation includes EFT, if applicable
Meets Value To Pass: Y

DATE: 05/01/1997

TAX PERFORMANCE SYSTEM

SAMPLING **INCOMPLETE**
CASHIERING
DATABASE DISPLAY

STATE: ST
REQUESTED YEAR: 1996

VALUE-TO-PASS SAMPLING TABLE

# of Sample Items	Value to Pass (%)
158 - 264	69.50
265 - 374	79.50
375 - 405	87.50
406 - 441	87.60
442 - 481	87.70
482 - 527	87.80
528 - 579	87.90
580 - 640	88.00
641 - 875	90.50
876 - 985	91.35

Database Display - Collections

TAX PERFORMANCE SYSTEM DATE: 08/04/1997
SAMPLING - COLLECTIONS

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 28

Employer # Id #	1	2	3	4	4a	4b	4c	4d	5	6	7	7a	8	9	9a	10	11	Y/N	R
1 1	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
2 2	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	
3 3	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	
4	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
5 5	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	
6	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
7	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
8	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
9	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
10	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
11	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		
12	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
13	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
14	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
15	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
16	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
17	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
18	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	

Questions 1, 2, 3, 4, 5, 6, 7a, 8, 10 and 11 are evaluative *R* - indicates Case Replacement.

DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
DATABASE DISPLAY

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 28

Comments for failed cases :

Case # : 2 Employer # : 2

==========

This is failure comments for case no 2.

Case # : 3 Employer # : 3

==========

This is case No 3. There is a need to check the answers.

2

DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
DATABASE DISPLAY

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 28

General Comments:

This is a general comments for Collections.

3

DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
DATABASE DISPLAY

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 28

Additional Failed Comments:

This is additional comments for case 5.

4

Error Report - Collections

DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
ERROR FILE

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance Sample 1
QUARTER: 1 SAMPLE SIZE: 28
==========

Number of cases recorded does not match entered sample size.

Comments for case failures not recorded properly. Comments must be entered
for the first three(3) failed cases.

Case 9 : is an incomplete case

Case 10 : is an incomplete case

Case 11 : is an incomplete case

5

OTHER MANAGEMENT TOOLS

General Information

This menu selection is to provide a menu option for the inclusion of other functions or information in TPS beyond the entry of information gathered from using the four major TPS methodologies. As addtional enhancements are needed or requested this menu choice will be used to implement future add-ons.

Accessing the Other Management Tools Menu Option

To access the **Other Management Tools** option,

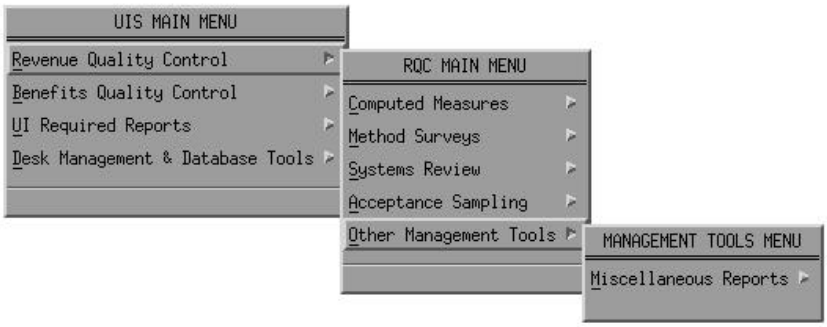
press F2 or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Then choose (O)ther Management Tools from the TPS Main Menu.

Shown below are the menus to select **Other Management Tools.**

Other Management Tools Menu



MISCELLANEOUS REPORTS

OTHER MANAGEMENT TOOLS AND MISCELLANEOUS REPORTS

General Information

This menu selection is to provide information on various reports needed or requested within the TPS program.

Accessing the Miscellaneous Reports Option

To access the **Miscellaneous Reports** option, press F2 or click the left mouse button to display the UIS Main Menu.

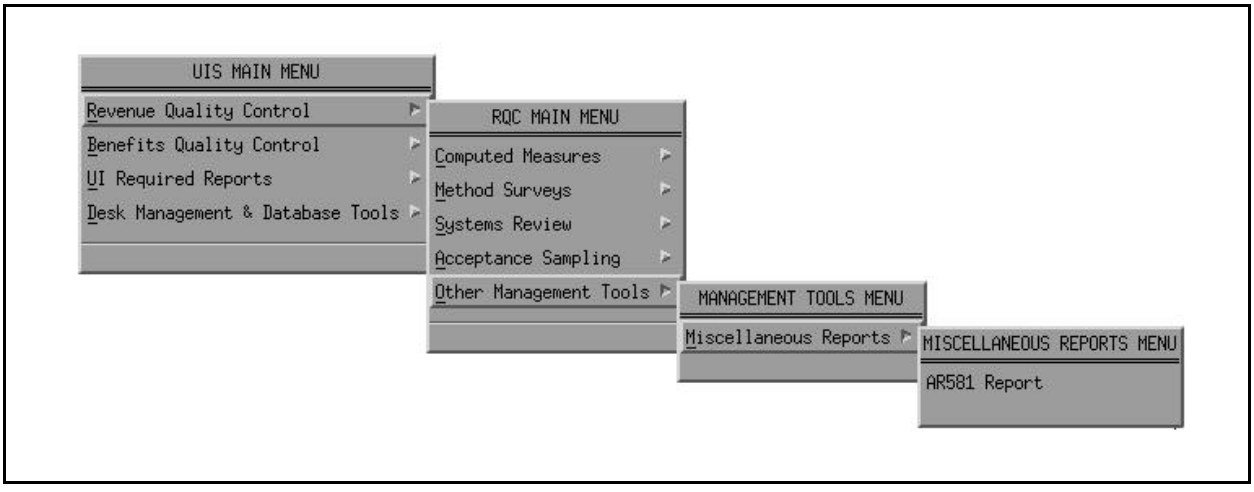
Choose (R)evenue Quality Control from the UIS Main Menu.

Then choose (O)ther Management Tools from the TPS Main Menu.

Choose (M)iscellaneous Report from the Management Tools Menu.

Shown below are the menus to select **Miscellaneous Reports.**

Miscellaneous Reports Menu



ETA 581 REPORT PROGRAM

General Information

This menu selection is to provide information on all data pertaining to the ETA 581 Report. This ETA 581 Report program allows State staff to print the report or view it on the screen. The query interface enables you, the user, to input a range of year and quarter(s) which is used by the software program to query UIRR's ETA 581 database table and to produce the ETA 581 Report for the year-quarter(s) requested.

The **Computed Measures** module provides information on ETA 581 data used in the measure's calculation. This menu option provides information on **ALL** data reported on the ETA 581.

Accessing the ETA 581 Report

To access the **ETA 581 Report** program, press or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

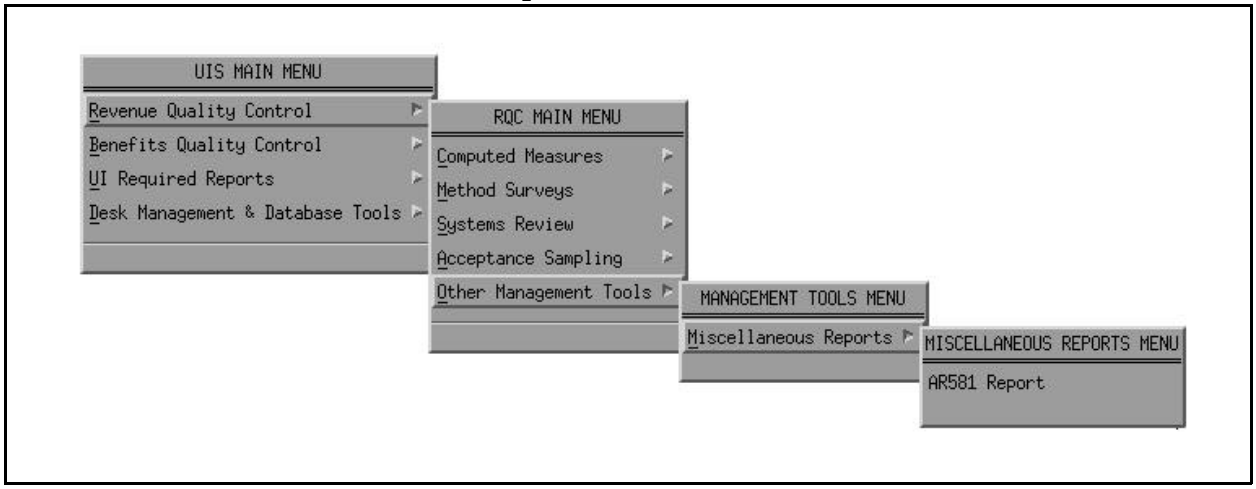
Then choose (O)ther Management Tools from the TPS Main Menu.

Choose (M)iscellaneous Report from the Management Tools Menu.

Then choose ETA581 Report from the Miscellaneous Reports Menu.

Shown below are the menus to select the **ETA 581 Report**

Miscellaneous Reports Menu



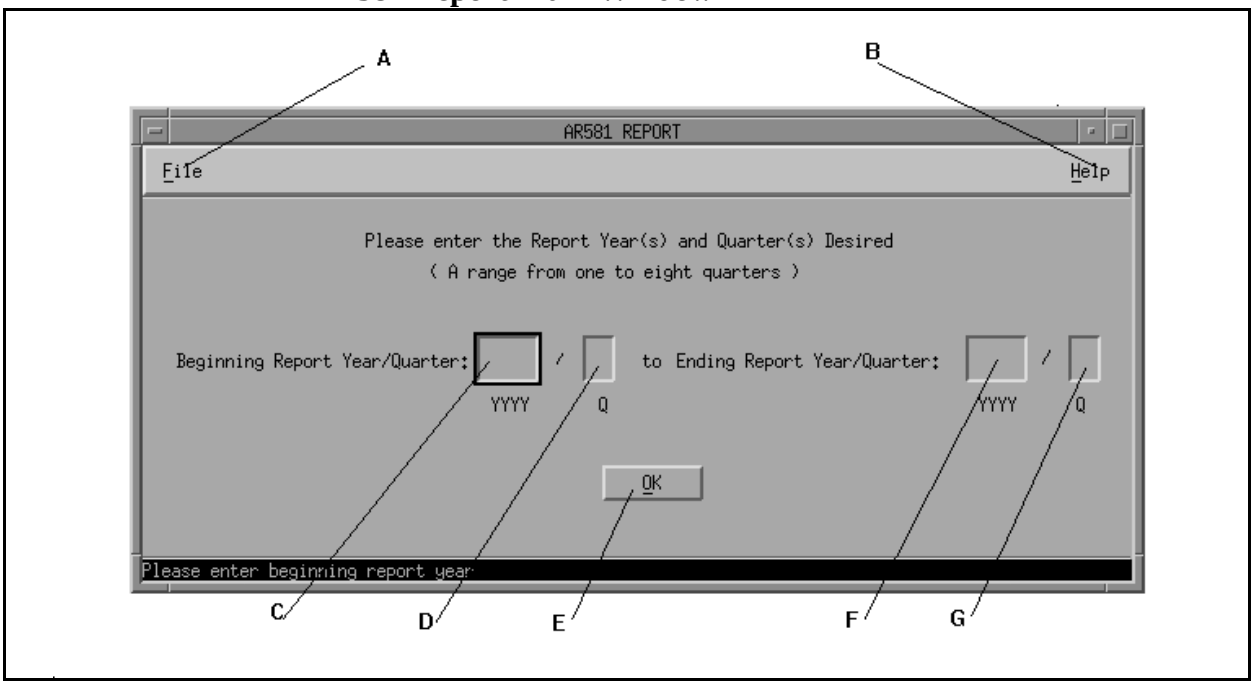
To gain access to the ETA581 program, you must be an authorized TPS reviewer with an account in the TPS security table (c_security). When you choose the ETA581 Report option, the program first checks your access privileges to execute the application. If you do not have permission to execute the ETA581 Report program, an error dialog appears with the message, "`You have no access to this application`". You are then prompted with an **OK** push button to acknowledge your inaccessibility to the program.

Shown below is an example of the error dialog with the message.

Error Message Window

If you are a valid TPS reviewer, the **ETA581 Report Main Window**, shown below, appears.

ETA581 Report Main Window



The following is an itemized description of the ETA581 Report Main Window.

A - File menu
B - Help menu
C - text field (Beginning Report Year)
D - Beginning Report Quarter
E - the OK button. This button initiates the processing of the AR58l Report
F - Ending Report Year
G - Ending Report Quarter

The input information described in the above will be validated as follows:

(1) The beginning/ending report year cannot be greater than the current year.

(2) The beginning/ending report quarter should be a value between 1 thru 4.

(3) The beginning report year cannot be greater than the ending report year.

(4) The total number of quarters between the beginning report year/quarter and ending report year/quarter cannot exceed eight quarters.

(5) No Alphabetic characters may be entered.

(6) No fields may be left blank.

Note: The underscore is the mnemonic for the key (*example*, OK, Help).

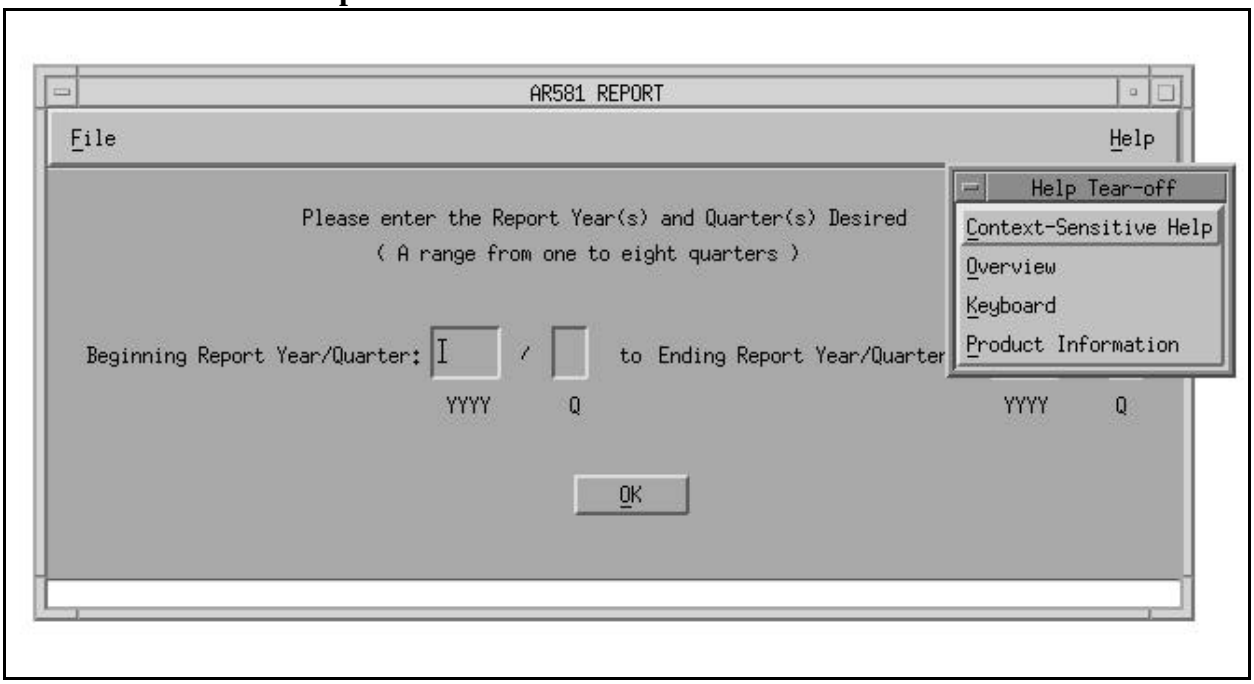
Help Windows

The Help menu displays four options:

- Context-Sensitive Help
- Keyboard
- Overview
- Product Information

The following figure displays the Help menu and its options in the top right corner of the **ETA 581 Report Main Window**

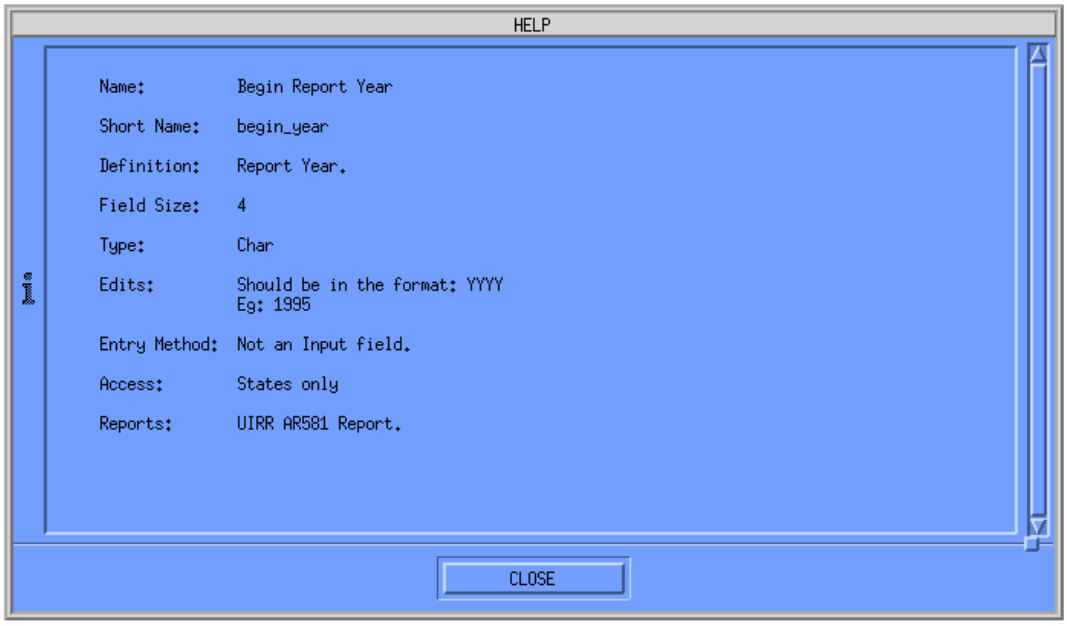
. **Help Menu**



You may choose `Help` on the menu bar of the **ETA 581 Report Main Window**, then choose the `Context-Sensitive Help` option to view the help message for the input fields on the main window for the ETA 581 Report.

Shown below is the Context-Sensitive Help window for the Begin Report Year.

Context-Sensitive Help Window



Other help functions include:

- an overview
- keyboard help specially designed for users who prefer to use the keyboard instead of the mouse
- Product Information, which gives information about the version and release date of the application.

Appropriate help messages on any screen can also be activated by pressing F1.

Generating Reports

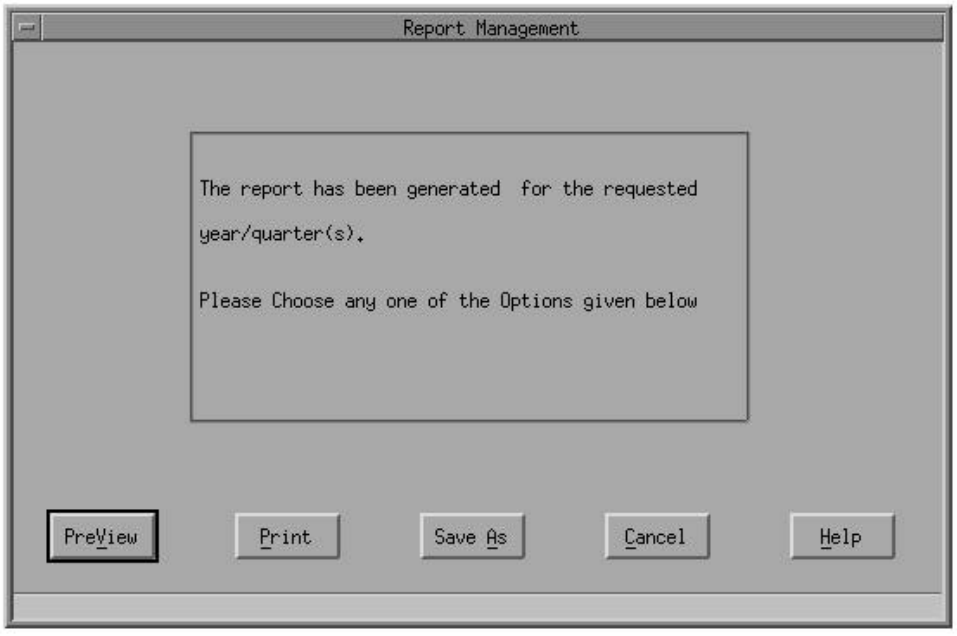
On the **ETA 581 Report Main Window**, you must enter valid information for the:

- Begin Report Year
- End Report Year
- Begin Report Quarter
- End Report Quarter

Any invalid input causes the system to issue an error message and request you to input the data again. After you key in the valid data, press **OK** to process the report. The program selects records from the ar581 table according to the year/quarter range requested, then generates the ETA 581 Report(s).

After the report is generated, the **Report Management Window**, shown below, is displayed.

ETA 581 Report Management Window

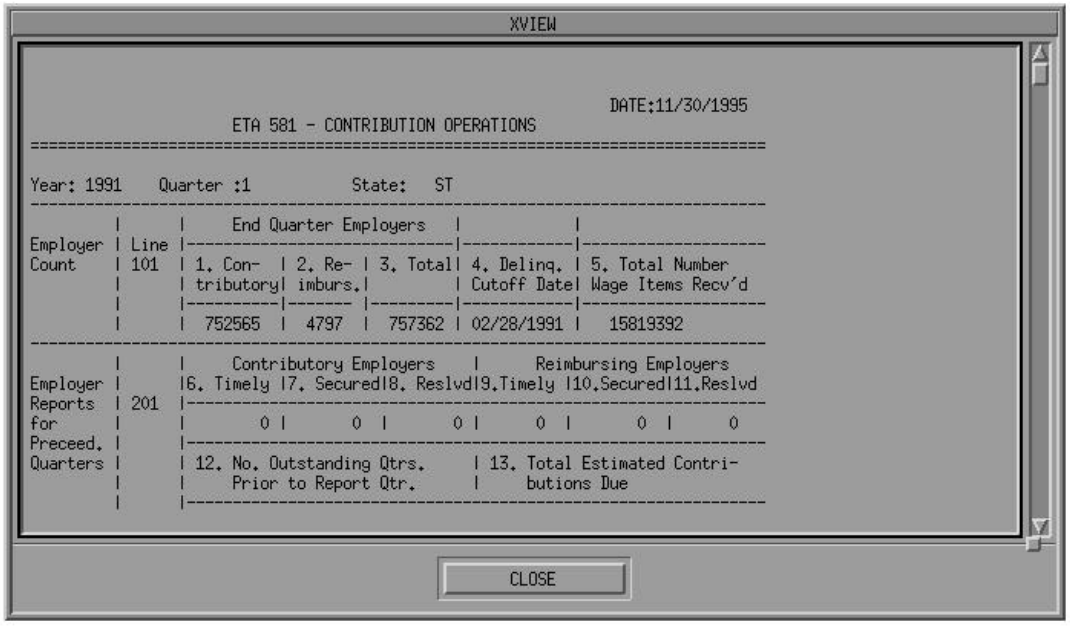


The **Report Management Window** has the following options:

- PreView
- Print
- Save As
- Cancel
- Help

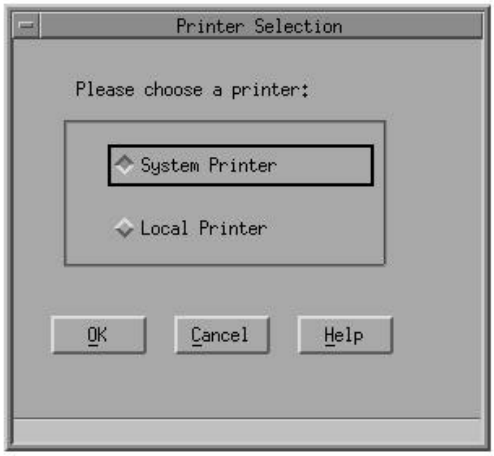
Choose the Pre(V)iew option on the **Report Management Window** to display the report generated in a view window. You can use the scrollbar on the right side to scroll through the entire report or click on **Close** to close the view.

ETA 581 Preview Window



Click on the `Print` option on the **Report Management Window** to display the **Printer Selection Window**, shown below. You can print the report to either the Local Printer or the System Printer.

Printer Selection Window



Choose the `System Printer` option, then click on **OK** to print the report file on the system printer that is connected to the system.

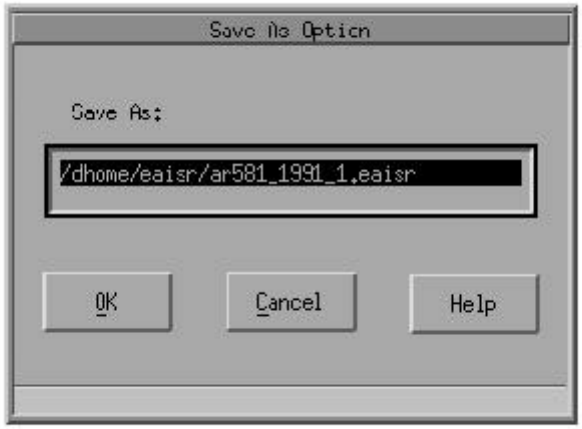
Choose the `Local Printer` option, then click on **OK** to print the report on the local printer that is connected to the user's workstation.

Choose the `Cancel` option to make the **Printer Selection Window** disappear. The printer selection is canceled.

Choose the `Help` option on the **Printer Selection Window** to display help messages related to the **Printer Selection Window**. Click on **Close** to exit the help window.

Choose the `Save As` option on the **Report Management Window** to display the **Save As Window**, shown below. You can either save the report with the default file name or rename the file.

ETA 581 Report Save As Window



The default pathname appears in the input text window. You have three options:

- Click on **OK** and accept the default pathname. The program executes its prime function. Various results are possible once **OK** is pressed.

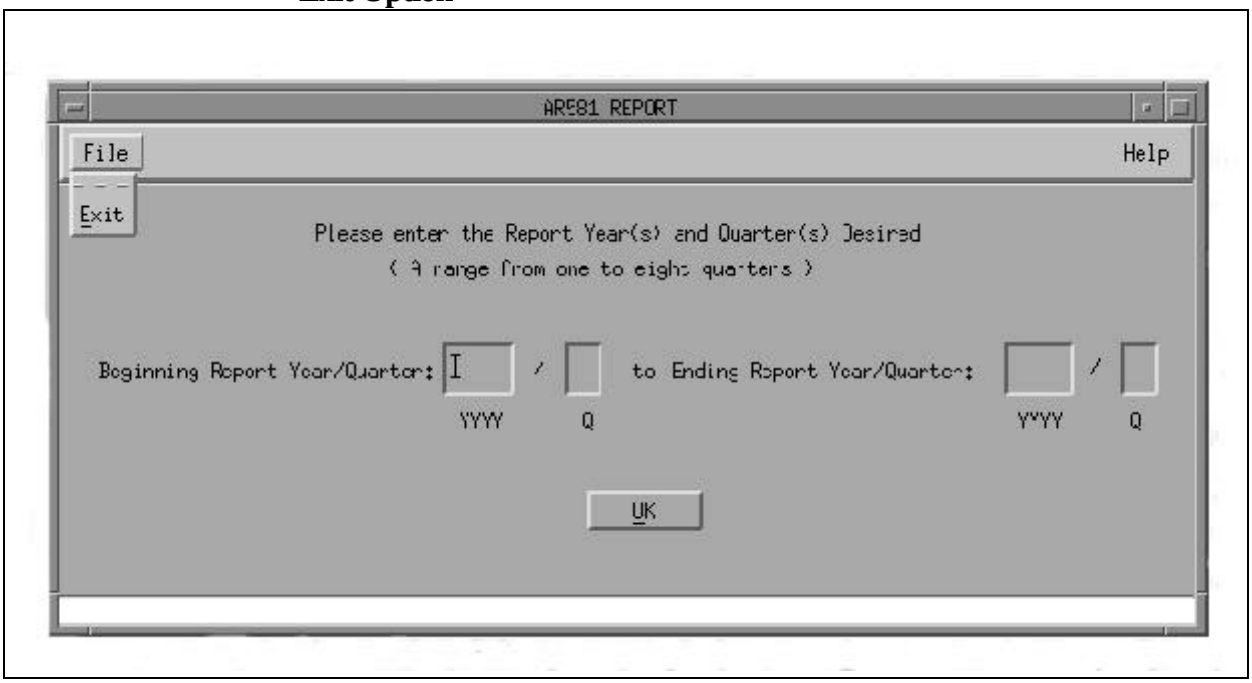
- Click on **Cancel** to cancel the Save As function. The program exits.

- Click on **Help** to display a scrollable help window (help dialog) which describes the Save As function and button usage.

If you click on **Cancel** on the **Report Management Window**, the window disappears and the focus returns back to the **ETA 581 Report Main Window**.

If you click on the `File` option on the menu bar at the top of the **ETA 581 Report Main Window**, the drop-down menu shows the only option, `Exit`, as shown below.

Exit Option



Click on `Exit` option to exit the ETA 581 program.

ETA 581 Report Printed Output

The printed output of ETA 581 Report contains the year, quarter, run date, and data from the ETA 581 table of the UIDB database. Shown below is a sample of the ETA 581 Report.

DATE:09/14/1995

ETA 581 - CONTRIBUTION OPERATIONS

Year: 1994 Quarter :4 State: ST

		End Quarter Employers				
Employer Count	Line 101	1. Contributory	2. Reimburs.	3. Total	4. Delinq. Cutoff Date	5. Total Number Wage Items Recv'd
		780629	5263	785892	11/30/1994	15369878

		Contributory Employers			Reimbursing Employers		
Employer Reports for Preceed. Quarters	Line 201	6. Timely	7. Secured	8. Reslvd	9.Timely	10.Secured	11.Reslvd
		0	0	0	0	0	0

12. No. Outstanding Qtrs. Prior to Report Qtr.	13. Total Estimated Contributions Due
89582	57784712

		Newly Established Employers			Successor Employers		
Status Determinations	Line 301	14. Number	15. Time Lapse <=90	16. Time Lpse,=180	17.Number	18. Time Lapse <=90	19. Time Lpse <=180
		26942	0	0	0	0	0

20. Inactivations/Terminations
0

MISCELLANEOUS REPORTS ETA 581 REPORT

DATE:09/14/1995

ETA 581 - CONTRIBUTION OPERATIONS

Year: 1994 Quarter :4 State: ST

		21. Total Beg.Period	22.Determ. Receivabls	23.Liqui- dated	24.Declrd Uncollec.	25.Removd EndPeriod	26. Total End Period
Contrib. Employers Recvbles	401	219511718	27229879	26388259	627585	0	219725753
		27. No. Employers Owing Recvbles: 97529					
Age of Contrib. Recvbles	402	28. 6 mon. or less	29. 9 Months	30. 12 Months	31. 15 Months	32. Over 15Months	
		12160411	12247685	7867652	8814848	178635157	
Reimbur. Employers Recvbles	403	33. Total Beg.Period	34.Determ. Receivabls	35.Liqui- dated	36.Declrd Uncollec.	37.Removd EndPeriod	38. Total EndPeriod
		2094838	3420795	1114356	126274	0	4275003
		39. No. Employers Owing Recvbles: 352					
Age of Contrib. Recvbles	404	40. 6 mon. or less	41. 9 Months	42. 12 Months	43. 15 Months	44. Over 15Months	
		2954913	131925	119064	88733	980368	
Audit Activity	501	No. of Audits 45.Lg Emply	46. Tot Audits	47. Calendar Quarters Audited	Total Wage Audit 48. Pre- Audit	49. Post- Audit	50 No. Chnge Audit	51. Hours Spent Auditing
		117	2242	9716	0	0	1515	25862

		Amount Underreported			Amount Overreported		
502	52. Total Wages	53. Taxable Wages	54. Contribut.	55. Total Wages	56. Taxable wages	57. Contribut.
	287652000	79402950	2850136	13897000	12360550	520996

TECHNICAL REFERENCES

GLOSSARY

GLOSSARY

application each program that a user uses as a tool in the window system.

cursor a small object on the screen, usually a box, underline, or I-bar that indicates where the next character will go when a user starts typing. On a normal terminal, there is usually only one cursor. When using a window system, however, there can be multiple cursors in multiple windows.

display the screen of a workstation.

environment control A software control for running an application. There are three primary X11 environment control files located in a user's home directory: *.xsession* — This file controls a user's login session by starting up various applications the user wants when the user logs in. *.Xdefaults* — This file is loaded into the X11 *resource database* when a user first logs in. It is used to store the various mode settings, or *resources*, which a user wants for various applications. *.mwmrc* — This is the Motif configuration file. It controls the various options used by Motif (mwm), the contents of the menus, and so on.

focus a state of the system that indicates which window and/or window component receives the keyboard events. A component has the focus if the keyboard events are sent to that component.

icon a small, usually pictorial, representation of an application when it is not in use. To *iconify* an application means to make that application's window(s) go away, and its icon appear. This is also referred to as *closing* a window (or application). To *deiconify* an application means to make the application's window(s) reappear, and its icon go away. This is also referred to as *opening* a window (or application).

mnemonic a single character (frequently the initial character) of a menu selection. When a menu is displayed and the user presses the mnemonic key, the menu selection is chosen.

Motif a set of guidelines that specifies how a window system user interface for graphical computers should *look* and *feel*. The user interacts with the application by typing at the keyboard, and by clicking, selecting, and dragging various graphic elements of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look

three-dimensional; for example, when a button is clicked, it actually appears to be pressed in and released.

Motif was designed by the Open Software Foundation (OSF), a non-profit consortium of companies such as Hewlett-Packard, Digital, and IBM. It was decided that the OSF/Motif toolkit should be based on the X Window System, a network-based windowing system that has been implemented for UNIX, VMS, DOS, etc. The Motif interface was modeled after IBM's Common User Access (CUA) specification, which defines the interface for OS/2 and Microsoft Windows. Motif 1.2 is based on Release 5 of the X11 subroutine library (Xlib) and the X Toolkit Intrinsics (Xt) specifications (X11R5). The X Toolkit Intrinsics (Xt) is the standard mechanism on which many of the toolkits written for the X Windows System are based. Xt provides a library of user-interface objects called *widgets* and *gadgets*, which provide a convenient interface for creating and manipulating X windows, colormaps, events and other cosmetic attributes of the display.

The window manager must support the following window frame components: *client area, title area*, *maximize button*, *minimize button, resize border*s, and *window menu* . See the end of the glossary for an illustration of a Motif window with these frame components.

client area the portion of the window in which the user performs application level tasks. Various widgets are added on this window to create an application window.

title area, also called the *title bar*, supplies a place to identify the window.

maximize button provides mouse users with a shortcut to the Maximize entry in the window menu. Activating the maximize button must increase the size of the window to the maximum allowable size. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being maximized.

minimize button provides mouse users with a shortcut to the Minimize entry in the window menu. Activating the minimize button must iconify the window. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being minimized.

resize borders are the outermost components of the window frame. They are made up of two components: the corner handles and the edge handles. If a window includes resize borders, there

GLOSSARY

must be one corner handle in each corner of the window at its extremes, and one handle between each pair of corner handles. Dragging any of these handles in the required direction would resize the window.

window menu, sometimes also called the *system menu* or *control menu*, is used to display the list of window actions. All actions possible for a window should be displayed in the window menu because keyboard-only users interact with the window manager through this menu.

mouse (mice) a pointing device with buttons on it. By moving the mouse around and pressing the buttons, a user prompts applications to execute various internal options. Mice usually have two or three buttons. On a two-button mouse, pressing both the left and right buttons at the same time usually performs the same function as pressing the middle button on a three-button mouse.

Mouse buttons have four states - *button up, button press, button down* and *button release.* The button press/release sequence is commonly referred to as a *mouse click,* and some functions are activated by multiple mouse clicks in a short period of time. Buttons are also affected by modifier keys, so SHIFT-<Left mouse button> is *not* the same as <Left mouse button>. If mouse buttons suddenly do not respond or behave differently, check to see if the CAPS LOCK is activated.

root window the window used by the window system to put all the other application windows into. It is used to represent the desktop, and hence usually takes up the entire display. Usually the root window is a solid background color, such as gray or black, and the application windows are another color, such as white or light gray. This allows the root window to function as a background for the other windows.

terminal emulator a program that acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When the program receives special characters that would prompt a real terminal to perform procedures such as clear the screen or move the cursor, the terminal emulator translates these special characters into the commands to do these functions on the display.

The X11 terminal emulator is called *xterm.* It emulates a DEC VT-102 terminal and can also act as a Tektronix 4014 graphics display.

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window a bounded, typically rectangular area in which an application performs all its input and output. A single application may use any number of windows, although most use only one or two.

window decorations Under **Motif**, see *title area, maximize button, minimize button, resize border,* and *window menu button*.

window system a collection of programs that permits the user to use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called *windows*, the user can have multiple login sessions on different hosts, graphics display programs, figure drawing programs, mail reading programs, text previewers, and other applications operating simultaneously.

Most window systems use an abstraction called the *desktop metaphor*. That is, the workstation screen is treated as if it were the top of a desk, and each program window as if it were a piece of paper. On a real desk, a person can lay pieces of paper out next to each other, stack them on top of one another, move them around, fold them up, etc. Similarly, a window system allows a user to place windows on the screen next to each other or on top of one another. A user can also move windows around, "fold" them up, throw them away, etc.

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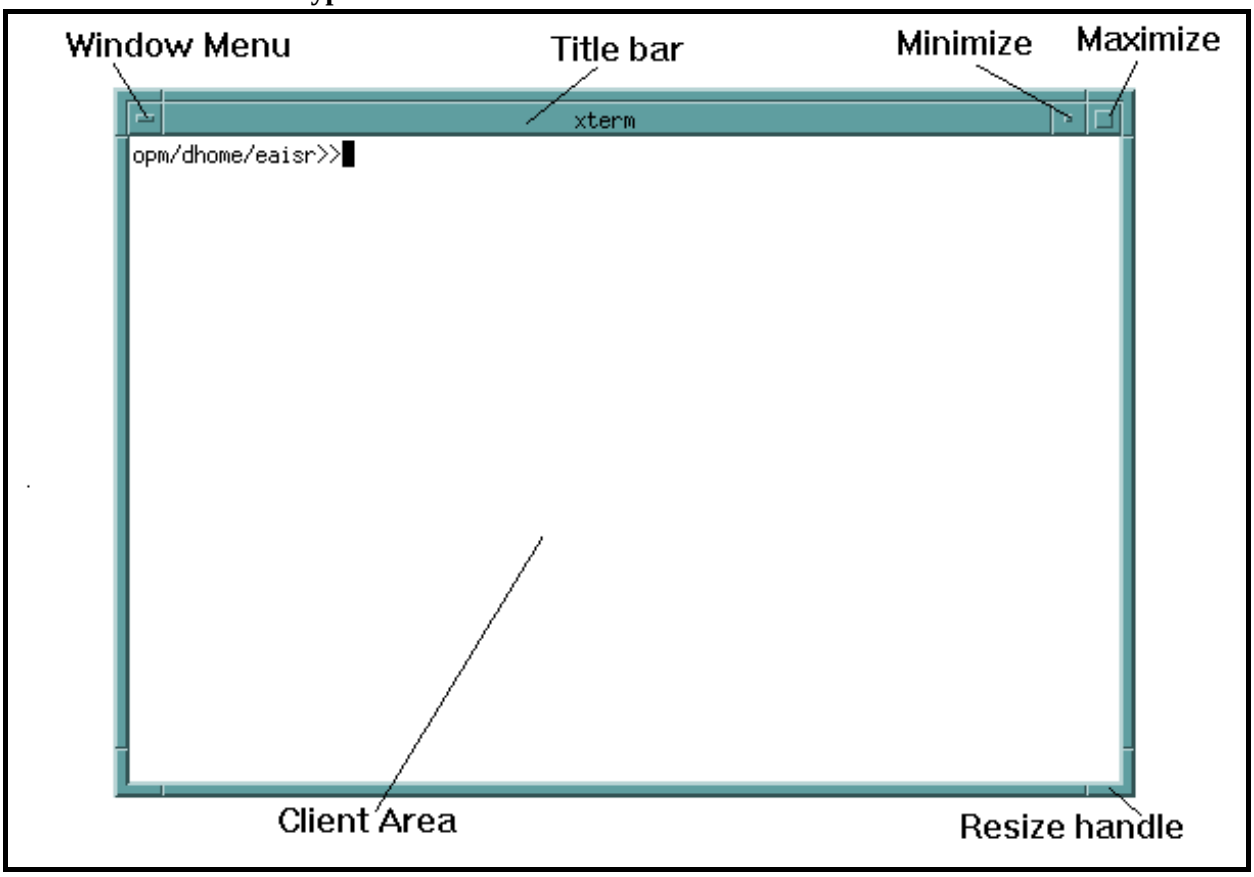
Shown below is a typical Motif window.

Typical Motif Window



DATABASE TABLE LAYOUTS

DATABASE TABLE LAYOUTS

COMPUTED MEASURES

All database tables required by the Computed Measures subsystem exist in your State's UIDB database. The following table layouts are arranged by tax function.

Status Determination

Table Name : c_cm_status

Field		Type
rptdate	date	***** key field *****
num_det_new		integer
new_det_90days		integer
new_det_180days		integer
num_suc_det		smallint
suc_det_90days		smallint
suc_det_180days		smallint

Report Delinquency

Table Name : c_cm_rep_delq

Field		Type
rptdate	date	***** key field *****
tot_emp_cont		integer
tot_act_emp_cont		integer
del_90days_cont		integer
del_180days_cont		integer
tot_emp_reim		integer
tot_act_emp_reim		integer
del_90days_reim		integer
del_180days_reim		integer

DATABASE TABLE LAYOUTS

Collections

Table Name : c_cm_collection

Field		Type
rptdate	date	***** key field *****
recv_cont		integer
amt_dep_cont9_1		decimal (12,2)
amt_dep_cont9_2		decimal (12,2)
amt_dep_cont9_3		decimal (12,2)
recv_liq_cont		integer
recv_uncolect_cont		integer
recv_doubt_cont		integer
recv_last_qtr_cont		integer
recv_reim		integer
amt_dep_reim18_1		decimal (11,2)
amt_dep_reim18_2		decimal (11,2)
amt_dep_reim18_3		decimal (11,2)
amt_dep_reim19_1		decimal (12,2)
amt_dep_reim19_2		decimal (12,2)
amt_dep_reim19_3		decimal (12,2)
amt_dep_reim20_1		decimal (12,2)
amt_dep_reim20_2		decimal (12,2)
amt_dep_reim20_3		decimal (12,2)
recv_liq_reim		integer
recv_uncolect_reim		integer
recv_doubt_reim		integer
recv_last_qtr_reim		integer

DATABASE TABLE LAYOUTS

Field Audit

Table Name : c_cm_field_audit

Field		Type
rptdate	date	***** key field *****
tot_audt_cont		smallint
tot_act_cont		integer
wages_over		integer
wages_under		decimal (11,0)
wages_pre_audt		decimal (11,0)
wages_post_audt		decimal (11,0)
tot_qtrs_audt		integer
wages_pd_tax_emp		decimal (13,0)

METHODS SURVEY

(To Be Developed)

PROGRAM REVIEW

(to be developed)

TECHNICAL REFERENCES

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application each program that a user uses as a tool in the window system.

cursor a small object on the screen, usually a box, underline, or I-bar that indicates where the next character will go when a user starts typing. On a normal terminal, there is usually only one cursor. When using a window system, however, there can be multiple cursors in multiple windows.

display the screen of a workstation.

environment control A software control for running an application. There are three primary X11 environment control files located in a user's home directory: *.xsession* — This file controls a user's login session by starting up various applications the user wants when the user logs in. *.Xdefaults* — This file is loaded into the X11 *resource database* when a user first logs in. It is used to store the various mode settings, or *resources*, which a user wants for various applications. *.mwmrc* — This is the Motif configuration file. It controls the various options used by Motif (mwm), the contents of the menus, and so on.

focus a state of the system that indicates which window and/or window component receives the keyboard events. A component has the focus if the keyboard events are sent to that component.

icon a small, usually pictorial, representation of an application when it is not in use. To *iconify* an application means to make that application's window(s) go away, and its icon appear. This is also referred to as *closing* a window (or application). To *deiconify* an application means to make the application's window(s) reappear, and its icon go away. This is also referred to as *opening* a window (or application).

mnemonic a single character (frequently the initial character) of a menu selection. When a menu is displayed and the user presses the mnemonic key, the menu selection is chosen.

Motif a set of guidelines that specifies how a window system user interface for graphical computers should *look* and *feel*. The user interacts with the application by typing at the keyboard, and by clicking, selecting, and dragging various graphic elements of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look

three-dimensional; for example, when a button is clicked, it actually appears to be pressed in and released.

Motif was designed by the Open Software Foundation (OSF), a non-profit consortium of companies such as Hewlett-Packard, Digital, and IBM. It was decided that the OSF/Motif toolkit should be based on the X Window System, a network-based windowing system that has been implemented for UNIX, VMS, DOS, etc. The Motif interface was modeled after IBM's Common User Access (CUA) specification, which defines the interface for OS/2 and Microsoft Windows. Motif 1.2 is based on Release 5 of the X11 subroutine library (Xlib) and the X Toolkit Intrinsics (Xt) specifications (X11R5). The X Toolkit Intrinsics (Xt) is the standard mechanism on which many of the toolkits written for the X Windows System are based. Xt provides a library of user-interface objects called *widgets* and *gadgets*, which provide a convenient interface for creating and manipulating X windows, colormaps, events and other cosmetic attributes of the display.

The window manager must support the following window frame components: *client area, title area*, *maximize button*, *minimize button, resize border*s, and *window menu* . See the end of the glossary for an illustration of a Motif window with these frame components.

client area the portion of the window in which the user performs application level tasks. Various widgets are added on this window to create an application window.

title area, also called the *title bar*, supplies a place to identify the window.

maximize button provides mouse users with a shortcut to the Maximize entry in the window menu. Activating the maximize button must increase the size of the window to the maximum allowable size. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being maximized.

minimize button provides mouse users with a shortcut to the Minimize entry in the window menu. Activating the minimize button must iconify the window. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being minimized.

resize borders are the outermost components of the window frame. They are made up of two components: the corner handles and the edge handles. If a window includes resize borders, there

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must be one corner handle in each corner of the window at its extremes, and one handle between each pair of corner handles. Dragging any of these handles in the required direction would resize the window.

window menu, sometimes also called the *system menu* or *control menu*, is used to display the list of window actions. All actions possible for a window should be displayed in the window menu because keyboard-only users interact with the window manager through this menu.

mouse (mice) a pointing device with buttons on it. By moving the mouse around and pressing the buttons, a user prompts applications to execute various internal options. Mice usually have two or three buttons. On a two-button mouse, pressing both the left and right buttons at the same time usually performs the same function as pressing the middle button on a three-button mouse.

Mouse buttons have four states - *button up, button press, button down* and *button release.* The button press/release sequence is commonly referred to as a *mouse click,* and some functions are activated by multiple mouse clicks in a short period of time. Buttons are also affected by modifier keys, so SHIFT-<Left mouse button> is *not* the same as <Left mouse button>. If mouse buttons suddenly do not respond or behave differently, check to see if the CAPS LOCK is activated.

root window the window used by the window system to put all the other application windows into. It is used to represent the desktop, and hence usually takes up the entire display. Usually the root window is a solid background color, such as gray or black, and the application windows are another color, such as white or light gray. This allows the root window to function as a background for the other windows.

terminal emulator a program that acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When the program receives special characters that would prompt a real terminal to perform procedures such as clear the screen or move the cursor, the terminal emulator translates these special characters into the commands to do these functions on the display.

The X11 terminal emulator is called *xterm.* It emulates a DEC VT-102 terminal and can also act as a Tektronix 4014 graphics display.

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window a bounded, typically rectangular area in which an application performs all its input and output. A single application may use any number of windows, although most use only one or two.

window decorations Under **Motif**, see *title area, maximize button, minimize button, resize border,* and *window menu button*.

window system a collection of programs that permits the user to use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called *windows*, the user can have multiple login sessions on different hosts, graphics display programs, figure drawing programs, mail reading programs, text previewers, and other applications operating simultaneously.

Most window systems use an abstraction called the *desktop metaphor*. That is, the workstation screen is treated as if it were the top of a desk, and each program window as if it were a piece of paper. On a real desk, a person can lay pieces of paper out next to each other, stack them on top of one another, move them around, fold them up, etc. Similarly, a window system allows a user to place windows on the screen next to each other or on top of one another. A user can also move windows around, "fold" them up, throw them away, etc.

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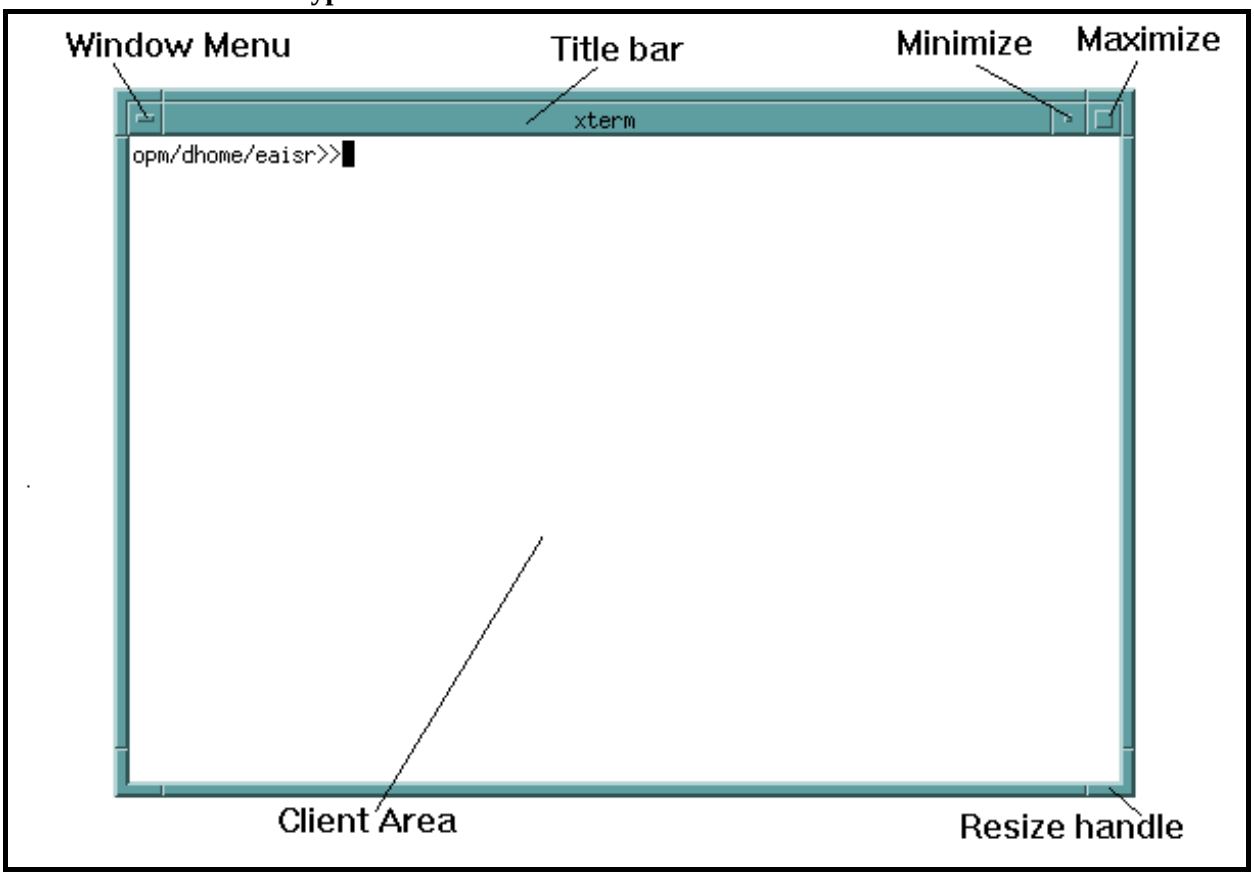
Shown below is a typical Motif window.

Typical Motif Window



DATABASE TABLE LAYOUTS

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COMPUTED MEASURES

All database tables required by the Computed Measures subsystem exist in your State's UIDB database. The following table layouts are arranged by tax function.

Status Determination

Table Name : c_cm_status

Field		Type
rptdate	date	***** key field *****
num_det_new		integer
new_det_90days		integer
new_det_180days		integer
num_suc_det		smallint
suc_det_90days		smallint
suc_det_180days		smallint

Report Delinquency

Table Name : c_cm_rep_delq

Field		Type
rptdate	date	***** key field *****
tot_emp_cont		integer
tot_act_emp_cont		integer
del_90days_cont		integer
del_180days_cont		integer
tot_emp_reim		integer
tot_act_emp_reim		integer
del_90days_reim		integer
del_180days_reim		integer

DATABASE TABLE LAYOUTS

Collections

Table Name : c_cm_collection

Field		Type
rptdate	date	***** key field *****
recv_cont		integer
amt_dep_cont9_1		decimal (12,2)
amt_dep_cont9_2		decimal (12,2)
amt_dep_cont9_3		decimal (12,2)
recv_liq_cont		integer
recv_uncolect_cont		integer
recv_doubt_cont		integer
recv_last_qtr_cont		integer
recv_reim		integer
amt_dep_reim18_1		decimal (11,2)
amt_dep_reim18_2		decimal (11,2)
amt_dep_reim18_3		decimal (11,2)
amt_dep_reim19_1		decimal (12,2)
amt_dep_reim19_2		decimal (12,2)
amt_dep_reim19_3		decimal (12,2)
amt_dep_reim20_1		decimal (12,2)
amt_dep_reim20_2		decimal (12,2)
amt_dep_reim20_3		decimal (12,2)
recv_liq_reim		integer
recv_uncolect_reim		integer
recv_doubt_reim		integer
recv_last_qtr_reim		integer

DATABASE TABLE LAYOUTS

Field Audit

Table Name : c_cm_field_audit

Field		Type
rptdate	date	***** key field *****
tot_audt_cont		smallint
tot_act_cont		integer
wages_over		integer
wages_under		decimal (11,0)
wages_pre_audt		decimal (11,0)
wages_post_audt		decimal (11,0)
tot_qtrs_audt		integer
wages_pd_tax_emp		decimal (13,0)